



# Understanding Connecticut Campaign Finance Laws

## A 2010 Guide for Statewide Office and General Assembly Candidates Participating in the Citizens' Election Program

STATE ELECTIONS ENFORCEMENT COMMISSION







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# I. OVERVIEW

## Purpose of this Guide

This Guide is intended to clarify and summarize the most important provisions and requirements for participation in the Citizens' Election Program (the "Program"), Connecticut's voluntary public campaign financing program. The purpose of this Guide is to provide candidates and campaign treasurers with useful information, in plain language, about the Program's various rules and requirements. However, this Guide is not a substitute for the laws and regulations relating to the Program, which can be found at the Connecticut State Elections Enforcement Commission's website, available at <http://www.ct.gov/seec>. Anyone using this Guide is also advised to refer to the specific statutory provisions, regulations, declaratory rulings, and advisory opinions of the Commission referenced throughout. For a summary of the Program's features, please refer to the [Basic Requirements – 2010 Overview](#) publication, also available at the Commission's website.

## Changes in the Law and in this Guide

The 2010 legislative session brought some changes to the state's campaign-finance laws, most significantly amending our laws to conform with the Supreme Court's ruling in *Citizens United v. FEC*. This high court ruling, handed down in January of 2010, declared certain restrictions on independent expenditures by corporations using their treasury funds unconstitutional. Because Connecticut banned direct expenditures of corporate or union funds to promote candidates or political parties, the legislature rewrote portions of the law to allow corporations and unions to make these independent expenditures as long as they comply with the new reporting and attribution requirements. This new law will affect participating candidates in that it defines when expenditures are truly independent and when they may be deemed coordinated. [Public Act 10-187](#).

These changes, however, did not amend the portions of the Citizens' Election Program which were found unconstitutional in a 2009 district court decision. The 2009 decision placed the Program under an injunction which has been stayed while the case is under review by the Second Circuit Court of Appeals. Because of the uncertainty caused by the court decision and the timing of the 2010 election cycle, the Commission encouraged the General Assembly to amend the challenged provisions during the 2010 session (and in advance of a ruling from the Second Circuit).

The Government Administration and Elections Committee passed two legislative proposals out of Committee; however, the bills were not adopted into law by the General Assembly as of the May 5, 2010 close of session. At the close of session, the General Assembly called itself into Special Session so it may act immediately once the Second Circuit court issues its decision. Additionally, the General Assembly amended a





key portion of the law by extending the timeframe they will have to respond to an adverse court ruling from one week to 30 days. [Public Act 10-2](#).

In addition to providing information regarding changes to the law, the Guide has also been revised to include additional charts, clarifications of the law, and other helpful information based on the experience gained during the 2008 election cycle. We welcome suggestions for future improvements to this Guide from you, the candidates, treasurers, and campaign workers that are its audience.

## Basics of the Program

Chapter 157 of the Connecticut General Statutes prescribes the Citizens' Election Program, a voluntary program which provides full public financing to qualified candidates for Governor, Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, or Attorney General ("Statewide Office") or for the General Assembly. The Program, administered by the State Elections Enforcement Commission (the "Commission"), is financed through the Citizens' Election Fund, a non-lapsing fund that receives most of its funding from the sale of abandoned property in the State of Connecticut's custody. Individuals, businesses, labor unions, candidate committees, party committees, political committees and entities of any other type may also contribute funds to the Citizens' Election Fund. The Program has no effect on the tax liability of Connecticut residents.

Candidates running for Statewide Office or General Assembly in 2010 may join the Program. Additionally, candidates running for the office of state senator or state representative in any special election may join the Program.

Although participation in the Program is voluntary, certain requirements apply to *all* candidates for Statewide Office or General Assembly, whether they join the Program or not. For example, all candidates must file an affidavit of intent to abide by the Program's expenditure limits *or* an affidavit of intent not to abide by those limits ([SEEC Form CEP 10](#) or [SEEC Form CEP 11](#)). All candidates also must be aware of and adhere to additional disclosure requirements, including mandatory supplemental campaign finance disclosure statements.

The Commission serves as the filing repository for all Statewide Office and General Assembly candidate and candidate committee registration forms, campaign finance disclosure statements and other campaign finance related forms.



## Goals of the Program

The voluntary public financing Program is designed to improve the electoral process in the following ways:

- (1) Allowing candidates to compete without reliance on special interest money and allowing legislators the ability to make decisions free of the appearance that they have been influenced by donations of special interests;
- (2) Curtailing excessive spending in the political process;
- (3) Giving candidates without access to sources of wealth a meaningful opportunity to seek elective office in the State of Connecticut;
- (4) Reducing the time spent on the pursuit of “dialing for dollars”;
- (5) Affording candidates the greatest opportunity to communicate with voters on issues of importance; and
- (6) Providing the public with useful and timely disclosure of campaign finances.

To participate, candidates must agree to abide by certain requirements, including contribution and expenditure limits and mandatory financial disclosure. This Guide describes those requirements and strives to make the Program understandable and accessible to all candidates, campaign staff, and the public.

## Candidate Services Unit

The Commission’s Candidate Services Unit assists candidates, treasurers and campaign staff in understanding and complying with Program rules and requirements. Each campaign is assigned to one of the Commission’s Candidate Services Liaisons to answer questions, listen to suggestions and provide support with all aspects of the Program.

**Important Note:** Your assigned Candidate Services Liaison **should always be the first point of contact for candidates, treasurers and campaign staff with questions about the Program.** The Candidate Services Unit can be reached at 860-256-2985.

## eCRIS (Electronic Campaign Reporting Information System)

An essential goal of Connecticut’s landmark campaign finance reform legislation is to increase transparency in the financing of political campaigns. To accomplish this goal, the Commission implemented a new and improved electronic campaign reporting system for Statewide and General Assembly candidates, party committees, and political committees that are required to file with the Commission.

The Electronic Campaign Reporting Information System (“eCRIS”) provides candidates, treasurers, and deputy treasurers with the process to electronically submit committee registration information and campaign finance statements detailing the receipts and expenditures of the committee. In addition, eCRIS provides its users with prompts and alerts treasurers to potential compliance issues.



Treasurers are strongly encouraged to file using eCRIS. Committees of candidates for Statewide Office are required to file their financial disclosure statements through eCRIS if they raise or spend two hundred and fifty thousand dollars (\$250,000) or more during an election campaign. Once such a candidate committee has raised or spent over this amount, they must also refile through eCRIS any statements that were not previously filed electronically.

[Conn. Gen. Stat. § [9-675\(b\)](#)]

eCRIS users may benefit from the following:

- Treasurers can upload campaign finance data into eCRIS from Excel and other campaign management software applications using eCRIS's online interface;
- Treasurers who are not computer-savvy may assign the data entry function to another individual and review the report for errors before filing;
- Amendments to previously filed registration or disclosure statements can be made quickly and efficiently; and
- Calculations required by law are system-generated, including aggregates for contributions and expenditures, thereby reducing potential errors.

If you are currently serving as a Candidate, Treasurer, Deputy Treasurer, or data entry operator of a candidate committee, set up an eCRIS user ID.

Follow: <https://seec.ct.gov/seecSSO/PublicAccess/CreateUser.aspx>

To learn more about eCRIS, go to <http://seec.ct.gov/eCris/eCrisHome.aspx>. You may also contact the eCRIS Helpdesk at 860-256-2930.

Here is what some of our users are saying about eCRIS:

*eCRIS is easy to use. eCRIS is a user-friendly application. eCRIS user interface is intuitive. eCRIS rocks. eCRIS is so easy that even a caveman can use it. eCRIS is so convenient and easy to use that I will never file financial reports on paper again. eCRIS allows me to create draft financial reports, enter and save financial transactions on a weekly basis so that I don't have to enter a large number of transactions when filing to the state. eCRIS is secure and reliable. eCRIS saves me time and money by filing my financial disclosure statements online thus saving me the cost of printing and postage. eCRIS allows me to access my financial reporting information from anywhere with the use of an internet connection and a browser. eCRIS helps me stay compliant by prompting me when I have not provided required data regarding a transaction. eCRIS helps me maintain Aggregate Contributions for Individual Contributors. eCRIS maintains my COLUMN B aggregates and automatically calculates my COLUMN A amounts for each report. eCRIS allows me to accurately and conveniently file an amendment to any report that I have filed using it, if necessary. eCRIS helpdesk staff is knowledgeable, responsive and courteous to deal with. I had trouble using eCRIS in the beginning but then I attended an eCRIS training session and since then I am happy with eCRIS.*



## II. GETTING STARTED

### Before Joining the Program

Before deciding to join the Citizens' Election Program, a candidate must consider several important factors. Joining the voluntary Program requires that candidates and treasurers abide by restrictions on fundraising and spending. It also requires comprehensive and detailed recordkeeping and financial disclosures. By freeing candidates from reliance on special interests, however, participation in the Program allows candidates to rely on small dollar donors and compete for elective office using citizen-owned democracy. *Regardless of whether or not a candidate joins, the Program requires all candidates for Statewide Office or General Assembly to adhere to certain requirements involving the timely disclosure of contributions and expenditures.* These requirements will be highlighted in this Guide.

Candidates and campaign treasurers should become familiar with the rules and requirements of the Program by reviewing this Guide and the law, including the statutes, regulations, declaratory rulings, and advisory opinions relating to the Program. See the Program's website for more information, <http://www.ct.gov/seec>.

Candidates should exercise care in selecting a treasurer, deputy treasurer, and campaign staff who are capable and prepared to undertake the effort to understand and comply with Program requirements. The candidate as well as the treasurer and/or deputy treasurer are legally responsible for Program compliance.

Candidates who intend to participate in the Program first must complete several steps, which are discussed in greater detail throughout this Guide:

- Register a candidate committee with the Commission;
- Obtain a federal employer identification number (FEIN) from the IRS; and
- File an Affidavit of Intent to Abide by Expenditure Limits.

### Who is a Candidate?

A *candidate* is an individual who seeks nomination or election to public office, even if that effort proves unsuccessful. An individual becomes a candidate if he or she personally, or through another person, (a) has solicited or received contributions, or made expenditures, including expenditures from personal funds, for the purpose of bringing about his or her nomination or election to any office, (b) has been endorsed or nominated by a political party and is thus entitled to a position on the ballot at an election or primary (whether or not funds or resources have been solicited, received or expended), (c) is otherwise qualified for the ballot pursuant to the election laws (i.e. petitioning candidates), or (d) registers with the Commission as a candidate.

[Conn. Gen. Stat. § [9-601\(11\)](#)]



**All candidates are required to register with the Commission no later than ten (10) days after becoming a candidate.** As discussed more fully below, candidates who intend to participate in the Program register by: (1) filing [SEEC Form 1/1A](#) to form a candidate committee, or (2) if applicable, filing [SEEC Form 4](#) to form an exploratory committee.

At registration, a candidate appoints a treasurer and deputy treasurer. After that, the candidate must work closely with his treasurer and deputy treasurer to ensure that all contributions and expenditures are properly reported, including expenditures made by the candidate himself.

[Conn. Gen. Stat. § [9-604\(a\) and \(c\)](#)]

## What is an Exploratory Committee?

An *exploratory committee* is a committee formed by a candidate who has not yet decided whether or not to seek a particular public office so that he or she can “test the waters.” Such committees are established by a candidate for a single primary or election. An exploratory committee must be tied to a specific election and only one exploratory committee may be formed per election cycle. An exploratory committee established for a particular election may only be used for that election. This means that if a special election is announced, a candidate who has formed an exploratory committee for the November regular election cannot use any funds raised by such exploratory committee for the special election.

**Important Note:** A candidate considering participation in the Program may begin collecting and properly documenting qualifying contributions during the exploratory committee stage and expenditures made from the exploratory committee for mailings or websites that solicit such contributions are permissible. For more information, see [Raising Qualifying Contributions in Exploratory Committee](#) in Chapter III.

Registration of an exploratory committee is accomplished by filing a [SEEC Form 4](#) (entitled “Exploratory Committee Registration”) with the Commission. The registration statement must designate the name and address of the committee treasurer, deputy treasurer (if any), the depository institution of the committee’s checking account, and the date of the election. The [SEEC Form 4](#) can be submitted online, via eCRIS, by any candidate who has obtained an eCRIS user ID.

An exploratory committee exists to allow a candidate to determine whether an individual would have a viable candidacy. Under Connecticut law, the legitimate activity of such a committee includes the promotion of one’s nomination to the ballot. Once the candidate has actually decided to pursue election to a particular office, the underlying purpose of his or her activities is no longer exploration but rather election to office and the candidate must roll into candidate committee. There are several triggering events that necessitate the dissolution of an exploratory committee:

- The candidate makes a public declaration of his/her intent to seek nomination or election to a particular public office; OR





- The candidate receives endorsement for a particular public office at a convention, caucus or town committee meeting; OR
- The candidate files candidacy for nomination under Section [9-400](#) or [9-405](#) of the General Statutes (forcing a party primary); OR
- The candidate decides, before any triggering event mentioned above, to terminate the exploratory committee and form a candidate committee for a particular public office in the same election cycle.

For further information regarding what constitutes a “public declaration,” see [Declaratory Ruling 2009-01](#).

It is particularly important for candidates who intend to participate in the Program to be aware of the triggering events. A candidate who remains in an exploratory committee after triggering the need to dissolve and form a candidate committee runs the twofold risk of (1) violating the statutory requirements to timely dissolve the exploratory committee, and (2) making expenditures attributable to a candidate committee. If the expenditures deemed attributable to the candidate committee exceed the applicable expenditure limits for the Citizens' Election Program, a candidate could be ineligible for a grant. A candidate who chooses to participate in the voluntary Program agrees to abide by expenditure limits. When an exploratory committee is dissolved and a candidate committee is formed, any surplus or deficit of the candidate's exploratory committee transfers to that candidate's candidate committee. Such surplus and deficit can have a significant impact on a candidate's ability to participate in the Program.

Moreover, expenditures made in the exploratory committee that fall outside the parameters of such committee's purpose of “testing the waters” and deciding whether to run, as opposed to actually running for election, are attributed to the candidate committee, and similarly impact the candidate's ability to participate in the Program.

**Important Note:** The candidate and treasurer should be aware that the treatment of surplus or deficits at this stage may have an effect on his or her ability to qualify for Program grants. Please see Chapter X for more information.

For more information on how to dissolve the exploratory committee, please see Chapter X or the [Exploratory Dissolution/Candidate Committee Formation](#) checklist.

[Conn. Gen. Stat. §§ [9-601\(5\)](#), [9-604\(c\)](#), [9-608\(f\)](#); [Declaratory Ruling 2007-02](#); [Declaratory Ruling 2009-01](#)]

## What is a Candidate Committee?

A *candidate committee* means any committee designated by a single candidate, or established with the consent, authorization or cooperation of a candidate. The purpose of a candidate committee is to aid and promote the individual's candidacy for a particular public office. Once a candidate establishes a candidate committee for a particular office, that committee may only be used to support that candidate's campaign for that office.

[Conn. Gen. Stat. §§ [9-601\(4\)](#), [9-604\(a\)](#) and [\(c\)](#)]



Registration of a candidate committee is accomplished by filing a form entitled [SEEC Form 1](#), "Registration by Candidate," with the Commission and further completion of [SEEC Form 1A](#), "Candidate Committee Registration." Candidate committee registration includes the following information:

1. The name of the committee;
2. The name, address, telephone number, and party affiliation of the candidate;
3. The name, address, and telephone number of the committee's treasurer and deputy treasurer, if a deputy treasurer is appointed;
4. The name and address of the depository institution in Connecticut in which a single checking account is established for the committee's funds. If the candidate had an exploratory committee, the checking account associated with the candidate committee must be a new checking account with a unique account number;
5. Identification of the office being sought by the candidate and the date of the applicable election; and
6. A signed and dated certification by the candidate, campaign treasurer, and deputy treasurer (if appointed).

[Conn. Gen. Stat. §§ [9-602\(a\)](#), [9-603\(a\)](#), [9-604\(a\)](#), [9-607](#), [9-616](#)]

A candidate is prohibited from having more than one candidate committee registered as the funding vehicle for the campaign. A candidate who has registered a candidate committee may not establish, authorize or assist in the establishment of any other committee to promote the candidate's campaign.

[Conn. Gen. Stat. § [9-604\(a\) and \(c\)](#)]

## Campaign Treasurers and Deputy Treasurers

Each committee must appoint one treasurer and should also appoint a deputy treasurer. A *campaign treasurer* or deputy treasurer is an individual who is a registered voter (elector) in Connecticut who is appointed by the candidate to serve in that capacity for the campaign. The treasurer (and deputy treasurer, if applicable) is the only individual who has the authority to deposit funds into the committee's depository account and the only one who can authorize expenditures from that account.

The following individuals may not serve as treasurer or deputy treasurer of a Statewide Office or General Assembly candidate or exploratory committee:

- Commissioners and Deputy Commissioners of state agencies;
- Communicator lobbyists; and
- Immediate family members (spouse and dependent children) and agents of communicator lobbyists.



In addition, principals of state contractors and prospective state contractors, including their spouses and dependent children over the age of eighteen (18), with respect to a contract with the *executive* branch may not serve as treasurer or deputy treasurer of the candidate committee of a Statewide Office candidate. Principals of state contractors and prospective state contractors, including their spouses and dependent children over the age of eighteen (18), with respect to a contract with the *legislative* branch may not serve as treasurer or deputy treasurer of a General Assembly candidate. These same restrictions apply with respect to a candidate in an exploratory committee unless the candidate is exploring both a General Assembly office and a Statewide office, in which case a principal of a state contractor or prospective state contractor with respect to a contract with either branch may not serve as treasurer or deputy treasurer.

Furthermore, a candidate cannot serve as his or her campaign's treasurer or deputy treasurer.

**Important Note:** There can be only one deputy treasurer appointed at a time. Since only an appointed deputy treasurer can authorize or make expenditures and deposit funds if the treasurer is unavailable, it is **strongly recommended** that all candidates appoint a deputy treasurer.

[Conn. Gen. Stat. §§ [9-601\(12\)](#), [9-602\(a\)](#), [9-606\(d\)](#), [9-610\(h\)](#), [9-612\(g\)](#), [9-622\(11\)](#)]

## Federal Employer Identification Number (FEIN) Requirement

In order to receive a Program grant, a treasurer must complete a Confidential Electronic Funds Transfer Form ([SEEC Form CEP 12](#)) and open a candidate committee bank account utilizing a *FEIN* for the committee provided by the Internal Revenue Service (IRS).

Treasurers can obtain a FEIN in one of the following ways:

- *Online* (typically issued immediately according to the IRS): Apply online at <https://sa2.www4.irs.gov/modiein/individual/index.jsp>. This link will lead to a secure site called "EIN Assistant", which helps users through the brief online application process;
- *By Telephone* (typically issued promptly according to the IRS): Call the IRS's Business & Specialty Tax Line toll-free number (800) 829-4933, weekdays between 7:00 A.M. and 10:00 P.M. local time, and follow the directions given;
- *By Facsimile* (typically issued in four days according to the IRS): Fax a completed Form SS-4 to the IRS service center for Connecticut at (859) 669-5760 and they will respond with a return fax in about four days. If no return fax number is included, it may take longer; or





- *By Mail* (typically issued in four weeks according to the IRS): Obtain IRS Form SS-4 from a local IRS office or online at <http://www.irs.gov/pub/irs-pdf/fss4.pdf>.

**Important Note:** Candidates who have run in the prior election cycle and are using the same committee name should retain the FEIN number they received in the prior year.

Any further questions about how to obtain a FEIN should be directed to the IRS.

## Joining the Program: Affidavits of Intent

Candidates who elect to participate in the Program (“participating candidates”) must complete the Affidavit of Intent to Abide by Expenditure Limits and Other Program Requirements ([SEEC Form CEP 10](#)). Candidates who elect *not* to participate in the Program (“nonparticipating candidates”) must complete the Affidavit of Intent *Not* to Abide by Expenditure Limits ([SEEC Form CEP 11](#)). Candidates who remain in an exploratory committee should NOT file an Affidavit of Intent, even if raising qualifying contributions.

A candidate for nomination or election to a Statewide Office or the General Assembly must file such affidavit no later than four o'clock p.m. on the twenty-fifth (25<sup>th</sup>) day before the day of a primary, if applicable, or on the fortieth (40<sup>th</sup>) day before the day of the election for such office.

**For the 2010 primaries, the filing deadline is 4 p.m. on July 16, 2010.**

**For the 2010 general elections, the filing deadline is 4 p.m. on September 23, 2010.**

In the case of a special election for the office of state senator or state representative, the candidate must file such affidavit no later than four o'clock p.m. on the twenty-fifth (25<sup>th</sup>) day before the date of such special election. These deadlines are distinguished from the deadlines to apply for an initial program grant, which are discussed later in this Guide.

**Important Note:** Candidates who intend to participate in the Program must declare their party status when filing an Affidavit of Intent to Abide by Expenditure Limits. A candidate who changes his or her party status or becomes a candidate for a different party after filing the Affidavit of Intent will *not* be eligible to apply for a Program grant. Thus, the Commission advises candidates to wait to file their Affidavits of Intent until they are certain of their party designation on the ballot. Regardless of when they file their Affidavits of Intent, however, candidates who intend to participate in the Program must still abide by all Program requirements or they become ineligible for Program grants.

[Conn. Gen. Stat. §§ [9-703\(a\)](#), [9-706\(a\)\(4\)](#)]



## Spending Limits

Spending limits are an important aspect of the Program and are separated into discrete periods of an election cycle: (1) the period before a primary campaign and general election campaign (the pre-primary/pre-general election period); (2) the primary campaign period (if applicable); and (3) the general election campaign period. See Chapter VI on Campaign Expenditures for further information.

Expenditures by a candidate committee during the pre-primary/pre-general election period are limited to the required amount of qualifying contributions, plus any allowable personal funds the candidate provides to the candidate committee. Participating candidates, or those who intend to participate, must be careful to avoid exceeding the pre-primary/pre-general election expenditure limit by making or obligating themselves to make an expenditure that results in their aggregate spending total exceeding the pre-primary/pre-general election period spending limit. Excess spending by participating candidates will disqualify them from receiving Program grants.

The expenditure limit during the primary campaign period and the general election campaign period is calculated by adding the full amount of grant eligible to be awarded, including any supplemental grants awarded, *and* any unspent qualifying contributions or unspent personal funds that had been provided by the candidate.

[Conn. Gen. Stat. §§ [9-372](#), [9-700](#), [9-702](#), [9-705](#), [9-710](#); [Regs., Conn. State Agencies § 9-702-1](#)]

For candidates who have been in an exploratory committee, the Program's expenditure limits attach when the candidate declares his or her intent to seek a particular public office, or when the candidate files a notice of intent to dissolve the exploratory committee, whichever is earlier. At the time of dissolution, any deficit is transferred to the candidate committee from the exploratory committee. If the deficit transferred to the candidate committee exceeds the Program's applicable expenditure limits, the candidate will be unable to join the Program because the candidate cannot agree to abide by the Program's expenditure limits. See the Qualifying Contributions section of this Guide for more information on the relationship between exploratory committees and candidate committees.

[Conn. Gen. Stat. §§ [9-608\(f\)](#), [9-702\(c\)](#), [9-705](#), [9-710](#); [Declaratory Ruling 2007-02](#)]

## Electronic Funds Transfer

After the Commission has approved a grant application, Program grants and supplemental payments are issued via the State's electronic transfer system. Candidates wishing to participate in the Program must therefore fill out and file a Confidential Electronic Funds Transfer Form ([SEEC Form CEP 12](#)) with the Commission.

The data provided is entered into the state accounting system (CORE-CT). Before any grant amount may be sent to the committee's account, a test transaction (known as



the “penny test”) must be conducted to confirm the accuracy of the candidate’s account information. This simply means that a random amount of no more than ten cents will be deposited into the candidate committee’s account to confirm that the account information was accurately entered into the system. The committee’s assigned Candidate Services Liaison will then instruct the treasurer how to confirm the test amount received. This transaction may be reported as a receipt in Section I, “Miscellaneous Monetary Receipts Not Considered Contributions,” In the committee’s next financial disclosure statement. [SEEC Form 30](#), see, Chapter IX.

[Conn. Gen. Stat. §§ [9-706\(d\)](#), [9-713\(a\)-\(e\)](#), [9-714\(b\)](#)]

**Important Note:** It is recommended that all committees file their [SEEC Form CEP 12](#) at least one week before submitting a grant application. If the candidate waits and files his [SEEC Form CEP 12](#) at the same time as his grant application, there is a possibility that the initial grant payment might be delayed.

## Personal Funds

The Program permits candidates intending to participate to provide a limited amount of personal funds to their candidate committees only before applying for a grant. *Any allowable personal funds provided reduce the grant by a corresponding amount.* The maximum allowable amount of personal funds varies depending on the office being sought. Non-reimbursed expenditures by the candidate are also considered personal funds and count against the candidate’s personal funds limit.

<i>Office Sought</i>	<i>Maximum Allowable Personal Funds</i>
Governor	\$20,000
Lieutenant Governor Secretary of the State Treasurer Comptroller Attorney General	\$10,000
State Senator	\$2,000
State Representative	\$1,000

There is a difference between a candidate’s provisions of personal funds, for which the candidate does not seek reimbursement, and expenses paid by the candidate for which he or she seeks reimbursement. It is the responsibility of the candidate to inform his or her treasurer when he or she makes or obligates to make an expenditure and whether or not such expenditure is being made from personal funds or with an expectation of reimbursement.



**Important Note:** A candidate who provides more than the maximum allowable amount of personal funds to his or her candidate committee will not be in compliance with Program requirements, and consequently will not be eligible to receive public funds. Such personal funds also may not be utilized as a loan to the candidate committee. Expenditures made by the candidate for which the candidate is not seeking reimbursement will be included in the tally of personal funds provided. Personal funds do not constitute qualifying contributions.

[Conn. Gen. Stat. §§ [9-705\(j\)\(1\)](#), [9-710\(c\)](#); [Declaratory Ruling 2007-01](#)]

## Re-Using Campaign Materials

If a participating candidate would like to re-use prior assets, such as lawn signs, banners, stationery, palm cards, thank you notes, buttons, t-shirts, domain names, and other campaign paraphernalia left over from the candidate's prior committee(s) that have little or no value to anyone other than the candidate, he may declare them as personal funds at the time they are used in the campaign. If the candidate chooses to do this, the committee should value such items at the *original purchase price* and the treasurer must report that value in Section O, "Campaign Expenses Paid by Candidate" of the Itemized Financial Disclosure Statement ([SEEC Form 30](#)), indicating the date of payment as the date the candidate provided the materials to the campaign and that reimbursement is not sought.

*Example:* Candidate X's committee purchased 500 lawn signs at a cost of \$3.00 each for her previous campaign. Candidate X is now participating in the Program and running for re-election as a state representative. X would like to re-use 200 of the signs. The value of those 200 signs counts as a provision of \$600 in personal funds.

Value of signs used (200 x \$3) = \$600

Allowable amount of personal funds less value of signs used = remaining allowable personal funds (\$1,000 - \$600 = \$400)

Prior assets may also be re-used by a candidate committee after a grant has been obtained. In this instance, the assets are not treated as personal funds; rather, they are valued at their original purchase price and the campaign treasurer must write a check to the Citizens' Election Fund equal to the value of the assets provided.

For more information on re-using campaign materials, please review [Advisory Opinion 2008-02](#), "Treatment of Prior Assets Used by Candidate Committee in Current Election Cycle."



## Using Exploratory Material in Candidate Committee

If a candidate in exploratory committee intends to carry forward to the same candidate's candidate committee goods or services purchased or pre-paid by the exploratory committee, he must accompany the exploratory committee's termination statement ([SEEC Form 30](#)) with a letter detailing the material being carried forward. For more information, please see Chapter X or the [Exploratory Dissolution/Candidate Committee Formation](#) checklist available on the Commission's website.

## Loans to the Candidate Committee

Candidates intending to participate in the Program may only take out a loan or loans totaling one thousand dollars (\$1,000) or less from a financial institution or institutions. Such borrowed funds do not constitute qualifying contributions.

The term "financial institution" includes a bank, a Connecticut credit union, a federal credit union, an out-of-state bank that maintains a branch in this state and an out-of-state credit union that maintains an office in this state.

No person, political committee, or party committee can endorse or guarantee a loan or aggregate loans exceeding five hundred dollars (\$500), except that the candidate, or, in a general election, a state central party committee, may endorse or guarantee loans from financial institutions up to one thousand dollars (\$1,000).

A participating candidate must repay all outstanding loans *before* applying for a grant from the Citizens' Election Fund.

**Caution:** A candidate intending to participate in the Program whose candidate committee accepts a loan, *in any amount*, from an individual (including the candidate), a political committee, a corporation, a lobbyist, or *any source other than a financial institution* will not be in compliance with Program requirements, and consequently will not be eligible to receive a Program grant.

A candidate intending to participate in the Program whose candidate committee accepts a loan or loans *from a financial institution or institutions exceeding one thousand dollars (\$1,000) in the aggregate* will not be in compliance with Program requirements, and consequently will not be eligible to receive public funds.

[Conn. Gen. Stat. § [9-710](#); [Declaratory Ruling 2007-01](#)]



### III. QUALIFYING CONTRIBUTIONS

Candidates participating in the Program must demonstrate that they have substantial public support in order to qualify for a grant from the Citizens' Election Fund (the "Fund"). This chapter discusses each of the requirements for obtaining qualifying contributions for purposes of being eligible for a public grant, as well as fundraising for your campaign.

#### Two-Part Qualifying Threshold

Candidates for Statewide Office or General Assembly who wish to participate in the Program must demonstrate that they have substantial public support by meeting a two-part threshold that sets requirements for:

- (A) The aggregate amount of money which must be raised; and
- (B) The minimum number of monetary contributions from individual human beings who reside "in-district" (for candidates for General Assembly) OR the minimum amount that must be raised from individual human beings who reside "in-state" (for candidates for Statewide Office).

While a single contributor may give multiple qualifying contributions (not to exceed one hundred dollars (\$100) in the aggregate) to a particular participating candidate, which will count toward the aggregate amount threshold -- for purposes of the "in-district" minimum threshold for General Assembly candidates, these contributions only count as **one in-district** qualifying contribution.

**Important Note:** While a qualifying contribution from an individual who resides outside of the state will not count as an "in-district" or "in-state" qualifying contribution, it will still count toward the required aggregate qualifying threshold.

[Conn. Gen. Stat. § [9-704\(a\)](#)]

Participating candidates who win a primary and proceed to the general election as the party nominee need only raise the qualifying threshold once.

[Conn. Gen. Stat. § [9-708](#)]

#### General Assembly Candidates: "In-district" Defined

Participating candidates for General Assembly must receive a minimum number of monetary contributions from individual human beings who reside within municipalities located, in whole or in part, in the district for which the candidate seeks legislative office. This means that even if only a small section of a particular town is in the district, candidates may still obtain "in-district" qualifying contributions from an individual residing anywhere in that town. Participating candidates may receive qualifying

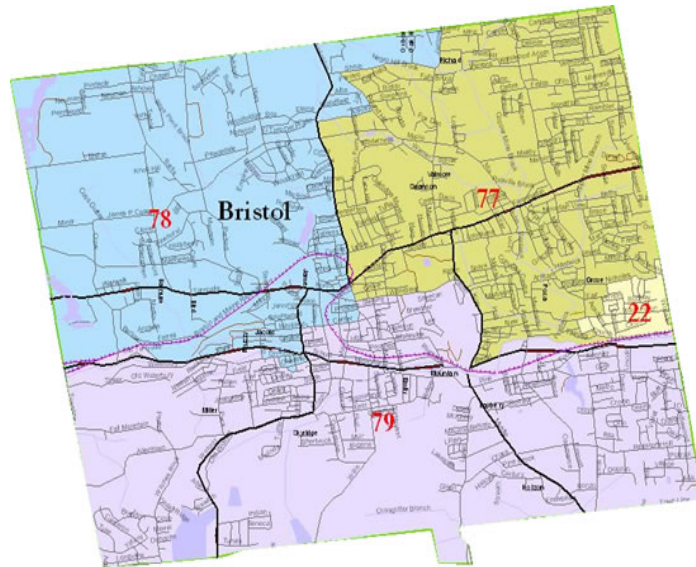




contributions of five dollars (\$5) up to one hundred dollars (\$100), in the aggregate, from an “in-district” contributor.

[\[Declaratory Ruling 2007-04\]](#)

*Example of “In-District” Contributions:* A candidate is running for State Representative in the 77th District, which is part of Bristol. Bristol is comprised of House Districts 22, 77, 78, and 79.



The candidate may solicit “in-district” contributions from any part of the City of Bristol. This means that contributions from contributors who reside in the City of Bristol will constitute “in-district” contributions, regardless of whether they live in House Districts 22, 77, 78, or 79. A contributor who resides in the 22nd District but in Plainville, however, would not constitute an “in-district” contribution.



The following tables summarize the required threshold amounts of qualifying contributions for General Assembly candidates:

**Regular Election**

<i>Office Sought in a Regular Election</i>	<i>Aggregate Qualifying Contribution Requirement</i>	<i>Minimum Individual "In-District" Qualifying Contributions Between \$5 - \$100</i>
State Senator	\$15,000	300 residents of municipalities included, in whole or in part, in the district
State Representative	\$5,000	150 residents of municipalities included, in whole or in part, in the district

[Conn. Gen. Stat. § [9-704\(a\)](#)]

**Special Election**

<i>Office Sought in a Special Election</i>	<i>Aggregate Qualifying Contribution Requirement</i>	<i>Minimum Individual "In-District" Qualifying Contributions Between \$5 - \$100</i>
State Senator	\$11,250	225 residents of municipalities included, in whole or in part, in the district
State Representative	\$3,750	113 residents of municipalities included, in whole or in part, in the district

[Conn. Gen. Stat. § [9-704\(a\)](#)]

## Statewide Office Candidates: "In-state" Defined

Participating candidates for Statewide Office must receive a minimum amount of monetary contributions from individual human beings who reside in the state of Connecticut. Participating candidates may receive qualifying contributions of five dollars (\$5) up to one hundred dollars (\$100), in the aggregate, from an "in-state" contributor.

[[Declaratory Ruling 2007-04](#)]





The following table summarizes the required threshold amounts of qualifying contributions for Statewide Office candidates:

<i>Office Sought in a Regular Election</i>	<i>Aggregate Qualifying Contribution Requirement</i>	<i>Minimum Amount of In-State Qualifying Contributions</i>
Governor	\$250,000	\$225,000
Lieutenant Governor	\$75,000	\$67,500
Secretary of the State	\$75,000	\$67,500
Treasurer	\$75,000	\$67,500
Comptroller	\$75,000	\$67,500
Attorney General	\$75,000	\$67,500

[Conn. Gen. Stat. § [9-704\(a\)](#)]

## Buffer Qualifying Contributions

Qualifying contributions raised above the required threshold are called “buffer” qualifying contributions. The Commission recommends raising such additional “buffer” contributions because these contributions are useful in the event that some of the candidate’s other contributions are deemed to be non-qualifying during the grant application review. Candidates are encouraged to accept buffers for both (1) the minimum number of “in-district” contributors or minimum amount of “in-state” contributors, and (2) the required aggregate monetary amount of qualifying contributions.

The amount of any buffer qualifying contributions raised beyond the qualifying threshold must be transmitted to the Citizens’ Election Fund with the candidate’s Program grant application. **In other words, candidates are permitted to *raise*, but not *spend*, buffer qualifying contributions in their candidate committees in order to facilitate the application process.**

[Conn. Gen. Stat. §§ [9-704\(d\)](#), [9-706\(b\)\(4\)](#); [Declaratory Ruling 2007-03](#)]



**Example of Buffer Qualifying Contributions:** A participating candidate for state senator in a regular election raises \$15,500 in qualifying contributions which includes 330 qualifying contributions from “in-district” contributors (i.e. \$500 more and 30 “in-district” contributors greater than the threshold the candidate must meet to qualify for a grant). With his grant application, the candidate includes a check for \$500 to the Citizens’ Election Fund for the buffer qualifying contributions.

During the grant application review, one \$100 contribution from an in-district resident and twenty \$10 contributions from in-district residents are deemed non-qualifying because they lack the correct documentation. For purposes of grant qualification, the candidate’s total amount of qualifying contributions is reduced by \$300 for a total of \$15,200 in qualifying contributions and his total number of in-district contributors is reduced by 21 for a total of 309 qualifying contributions from in-district contributors. However, because the candidate submitted “buffer” contributions, which were all properly documented, the Commission was able to count the documentation of those buffer contributions in place of the rejected contributions and his final totals of \$15,200 and 309 “in-district” reach the required thresholds, qualifying him for a grant.

## What Is a Qualifying Contribution?

A qualifying contribution must be from a human being (subject to the prohibitions discussed below) and must be between five dollars (\$5) and one hundred dollars (\$100) from each contributor in the aggregate. A qualifying contribution must be monetary and can only be made and received in the following forms: cash, money order, personal check or debit card, or personal credit card. Each qualifying contribution must also be adequately documented and disclosed. See Documentation for Qualifying Contributions, later in this Chapter, for more information.

[Conn. Gen. Stat. § [9-704](#); [Declaratory Ruling 2007-03](#)]

## What Contributions are Non-Qualifying?

Contributions that either do not meet the criteria for a qualifying contribution and/or come from a prohibited source are deemed ***non-qualifying contributions***. The campaign treasurer is responsible for scrutinizing all contributions received before depositing them in the committee’s bank account to ensure they meet the criteria for a qualifying contribution.

Before a candidate applies for a grant, all non-qualifying contributions must be returned to the contributor or transmitted to the Commission for deposit into the Citizens’ Election Fund. If, for any reason, the campaign treasurer is unable to return a non-qualifying contribution, the campaign treasurer must transmit it to the Citizens’ Election Fund.

[Conn. Gen. Stat. §§ [9-704](#), [9-706\(b\)\(4\)](#)]



The following are some examples of contributions or receipts which *do not constitute qualifying contributions* either because they do not meet the criteria for qualifying contributions or because they are from a prohibited source.

## 1. Contributions Lacking the Criteria for a Qualifying Contribution

To reiterate, all qualifying contributions must be from human beings between five dollars (\$5) and one hundred dollars (\$100) in the aggregate. Because the following types of contributions do not meet these criteria, they are non-qualifying.

### a. Non-Monetary (“In-kind”) Contributions

An *in-kind contribution* is the donation of goods, services or anything of value given free of charge or at less than the usual charge to the recipient committee. An in-kind contribution is valued at the usual and customary charge less any amount paid by the recipient committee. An in-kind contribution could include the use of real property for a committee headquarters or the use of personal property such as facilities, supplies, equipment and mailing lists.

A discount is also a type of in-kind contribution. A discount is the difference between the usual and customary charge for goods or services and the amount charged to the recipient candidate or committee.

***In-kind contributions are not monetary and so are not qualifying contributions.*** Thus, a candidate who is participating in the Program, or who is intending to participate in the Program, may not accept in-kind contributions from any source.

If authorized by the campaign treasurer, committee workers may purchase items for the campaign using their own funds and provide documentation of the purchase (such as a cash register receipt) to the treasurer. To avoid such purchases becoming impermissible in-kind contributions to the committee, the campaign should reimburse the worker for the expenditures within a reasonable time. The Commission has previously concluded that reimbursement within forty-five (45) days of the purchase date is a reasonable amount of time.

To avoid accepting in-kind contributions from other committees, a participating candidate’s committee may also make reimbursements to certain types of committees but only ***before*** the participating candidate receives public funds. After a participating candidate receives a grant, his or her candidate committee becomes a qualified candidate committee and a qualified candidate committee must pay vendors directly rather than reimbursing another committee.



**Important Note:** Participating candidates cannot receive in-kind contributions of any type from any source. However, party committees, legislative caucus committees, and legislative leadership committees may make organization expenditures to benefit participating candidates and their committees which do not constitute contributions and therefore do not need to be reimbursed. See Chapter VII for more information on organization expenditures.

[Conn. Gen. Stat §§ [9-601a\(b\)\(4\) and \(16\)](#), [9-702](#); [Regs., Conn. State Agencies § 9-706-2\(b\)\(8\)](#); [Declaratory Ruling 2007-03](#)]

#### **b. Portions of Contributions Over the \$100 Aggregate Limit**

Human beings may only contribute up to one hundred dollars (\$100) in the aggregate as a qualifying contribution. A contribution over one hundred dollars (\$100) in the aggregate is thus non-qualifying. Therefore, treasurers must return to the contributor any portion of a contribution or contributions that exceeds one hundred dollars (\$100) in the aggregate.

[Conn. Gen. Stat. §§ [9-704](#), [9-706\(b\)\(4\)](#)]

*Example:* John Doe, who gave \$10 in cash at a participating candidate committee's first fundraising event and a \$75 check at the second event, attends the committee's third event and donates \$30 in cash.

After depositing all funds received at the third fundraiser, the treasurer realizes that John Doe has made contributions greater than \$100 in the aggregate ( $\$10 + \$75 + \$30 = \$115$ ). Consequently, the treasurer must refund the \$15 non-qualifying portion to John Doe in order for his contributions to count as qualifying. Both the deposit and refund of the non-qualifying portion must be disclosed on the committee's financial disclosure statement ([SEEC Form 30](#)). See Documentation for Qualifying Contributions, later in this Chapter, for more information.

#### **c. Contributions from Party Committees and Political Committees**

Participating candidates may only receive qualifying contributions from individual human beings, and cannot receive contributions from any other source. Accordingly, participating candidates may not receive contributions from party committees (i.e. state central and town committees), political committees, or legislative caucus and legislative leadership committees.

[Conn. Gen. Stat. § [9-704\(a\)\(1\)-\(4\)](#); [Declaratory Ruling 2007-03](#)]

**Important Note:** Participating candidates can, however, receive *organization expenditures* from party committees and legislative caucus and legislative leadership committees. For more information on organization expenditures, see Chapter VII.



#### **d. Contributions Lacking Adequate Documentation**

All contributions lacking proper backup documentation do *not* meet the criteria for qualifying contributions.

#### **e. Anonymous Donations**

Participating candidates cannot accept or deposit anonymous contributions. Treasurers must immediately remit all anonymous contributions, regardless of amount and in the form in which received, to the State Elections Enforcement Commission, 20 Trinity Street, Hartford, CT 06106.

[Conn. Gen. Stat. §§ [9-704\(c\)\(3\)](#), [9-706\(b\)\(4\)](#)]

#### **f. The Candidate**

A participating candidate cannot make a qualifying contribution to his or her own campaign. Family members of the candidate may make qualifying contributions, unless the candidate or the family member is a communicator lobbyist or a principal of a current or prospective state contractor. See below for more information on lobbyists and state contractors.

### **2. Prohibited Sources**

The following contributions are from *prohibited* sources and are, consequently, non-qualifying.

#### **a. Business Entities and Unions**

Statewide Office and General Assembly candidate committees may not accept contributions from business entities (or from an individual using a business checking account), unions, nonprofit organizations, clubs, or neighborhood groups.

[Conn. Gen. Stat. §§ [9-602\(a\)](#), [9-613\(a\)](#), [9-614\(a\)](#); [Declaratory Ruling 2007-03](#)]

#### **b. Communicator Lobbyists**

Contributions from an individual who is a communicator lobbyist, or a member of the immediate family of a communicator lobbyist (i.e. spouse, civil union partner or dependent child), made to any candidate for Statewide Office or General Assembly are prohibited.

For more information on the lobbyist ban, please see the definitions in the Glossary of this Guide and [Declaratory Rulings 2006-01](#) and [2006-02](#).

[Conn. Gen. Stat. §§ [9-610\(g\)](#), [9-704\(c\)\(1\)](#); [Declaratory Ruling 2007-03](#)]



### c. Principals of Current and Prospective State Contractors

Contributions from an individual who is *a principal* of a state contractor or prospective state contractor (including the spouse and dependent children over the age of eighteen (18)), made to any participating candidate for Statewide Office or General Assembly are prohibited.

The principals of a business entity that is a state contractor or prospective state contractor are: i) members of the board of directors; ii) individuals with ownership interest of 5% or more in the business; iii) a president, treasurer, or executive vice president of the business; iv) employees with managerial or discretionary responsibilities with respect to the negotiation of the state contract (i.e. those having direct, extensive and substantive responsibilities, rather than peripheral, clerical or ministerial responsibilities, with respect to the negotiation of the state contract); v) the spouse and dependent children over the age of eighteen (18) of individuals described above; and vi) a political committee established by or on behalf of an individual described above.

The principals of a non-business entity that is a state contractor or prospective state contractor are: i) the chief executive officer, or if there is no CEO then the officer who possesses comparable powers and duties; ii) employees who have managerial or discretionary responsibilities with respect to the negotiation of the state contract; iii) the spouse and dependent children over the age of eighteen (18) of individuals described above; and iv) a political committee established by or on behalf of an individual described above.

A participating candidate cannot receive qualifying contributions from *state contractors that have contracts with either the legislative or executive branches of state government*. The definition of a qualifying contribution for participating candidates differs from the prohibition on contractor contributions that applies to nonparticipating candidates as set forth in Conn. Gen. Stat. § [9-612\(g\)\(2\)](#). That prohibition is branch-specific. For example, if the state contractor or prospective state contractor has a contract solely with the executive branch, a principal of that contractor could contribute to a **nonparticipating** General Assembly candidate. It is important to note that the state contractor bans for participating and nonparticipating candidates alike do not include state contractors that have contracts with the *judicial branch*. There are no contribution provisions applicable to judicial branch contractors.

Please see the Commission's website, <http://www.ct.gov/seec>, which has lists of state contractors and prospective state contractors. These lists, however, are not exhaustive as there may be additional state contractors that are not listed.

[Conn. Gen. Stat. §§ [9-612\(g\)\(1\)](#), 9-704(c)(2); [Declaratory Ruling 2007-03](#)]





#### d. Principals of Investment Services Firms

Contributions from an individual who is a principal of an investment services firm made to a State Treasurer candidate are prohibited during the term of office of the State Treasurer who does business with such firm.

A “principal of an investment services firm” means: (i) any individual who is a director or has an ownership interest in an investment services firm, except for owners with less than 5% of the shares of an investment services firm; (ii) any individual who is president, treasurer, or executive vice president of the firm; (iii) any individual who is an employee of an investment services firm who has managerial or discretionary responsibilities with respect to investment services provided to the State Treasurer; (iv) the spouse and dependent children who are eighteen (18) years of age or older of the foregoing individuals; and (v) a political committee established or controlled by any of the above individuals.

The ban applies to the incumbent State Treasurer and all challengers, and to an exploratory committee of any candidate who is considering a campaign for nomination or election as State Treasurer. “Investment Services” means investment legal services, investment banking services, investment advisory services, underwriting services, financial advisory services or brokerage firm services. Violation of this restriction may prohibit the State Treasurer whose candidate or exploratory committee benefited from such contributions or solicitations from paying compensation, expenses or fees to any firm with an existing contract with the State Treasurer or will prohibit the State Treasurer from issuing a future contract to any such firm during the entire term of office of the State Treasurer, including, for an incumbent Treasurer seeking reelection, any remainder of the current term of office. Any questions concerning this business prohibition provision should be addressed to the Office of State Ethics.

Also, contributions from a member of the Investment Advisory Council to of an exploratory committee or candidate committee established by a candidate for State Treasurer are prohibited.

[Conn. Gen. Stat. §§[1-84\(n\)](#), [9-612 \(f\)](#), [9-613\(f\)](#)]

**Important Note:** Campaign treasurers are responsible for verifying that a contributor is not a communicator lobbyist, a member of the immediate family of a communicator lobbyist (i.e. spouse or dependent child), or a principal of a current or prospective state contractor (or a principal of an investment services firm in the case of a candidate for State Treasurer). See the glossary of this Guide and General Statutes § [9-612\(g\)\(1\)](#) for the specific definitions of these terms. The sample certification forms provided by the Commission are designed to assist with this duty and it is strongly recommended that committees use them.



#### e. Foreign Nationals

Federal law prohibits foreign nationals from making campaign contributions related to state elections. Permanent resident aliens who are legally in the United States – foreign nationals with “Green Cards” – may contribute to Connecticut state political campaigns.

[[2 U.S.C. § 441e](#)]

#### f. Contributions from Minors over Thirty Dollars (\$30)

A minor (an individual under the age of eighteen (18)) may not give contributions over thirty dollars (\$30) in the aggregate to a Statewide Office or General Assembly candidate. Moreover, contributions from a minor that are thirty dollars (\$30) or less can only be accepted if the minor demonstrates “donative intent.” Donative intent is established if three conditions are met:

- (a) The decision to contribute is made knowingly and voluntarily by the minor child and is made for the purpose of influencing the nomination or election; and
- (b) The money contributed is owned or controlled exclusively by the minor child, such as income earned by the child, the proceeds of a trust for which the child is a beneficiary, or a savings account opened and maintained exclusively in the child’s name; and
- (c) The contribution is not made from the proceeds of a gift, the purpose of which was to provide funds to be contributed, or is not otherwise controlled by another individual.

**Important Note:** Due to the inherent difficulties in determining whether a contribution from a minor evinces the proper donative intent, campaigns should exercise caution when accepting contributions from minors. The contributor certification forms recommended by the Program require a contributor to note whether he or she is under the age of eighteen (18). Treasurers are strongly encouraged to use these forms.

[Conn. Gen. Stat. § [9-611\(e\)](#)]

### Documentation for Qualifying Contributions

All qualifying contributions must be carefully documented so that the Commission can review candidates’ grant applications to determine whether reported qualifying contributions are from permissible sources and do not exceed permissible amounts. The candidate and campaign treasurer must demonstrate that all reported qualifying contributions have the proper documentation and meet the criteria for qualifying contributions. Qualifying contributions must also be itemized and adequately disclosed on campaign finance disclosure statements ([SEEC Form 30](#)).





For information on how to properly document qualifying contributions, please proceed to Chapter IX, on Recordkeeping and Disclosure.

**Important Note:** Committee treasurers may submit qualifying contribution back-up documentation with an earlier quarterly campaign finance disclosure statement ([SEEC Form 30](#)) (i.e. the January 10, April 10, or July 10 statements) prior to grant application. The Commission ***strongly recommends*** that committees take advantage of this opportunity for early feedback in order to correct mistakes and qualify for a grant more quickly.

Failure to maintain and/or provide these records will lead to a determination that any such undocumented contributions do not meet the criteria for qualifying contributions. The treasurer should scrutinize all contributions received before depositing them in the committee's bank account. Carefully reviewing all contributions prior to depositing them will help avoid penalties for accepting prohibited contributions.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(f\)](#), [9-704\(c\)\(3\)](#), [9-706\(b\)](#); [Declaratory Ruling 2007-03](#)]

### **REMEMBER!**

Qualifying contributions have five significant parts. An easy way to remember is **I-FIND**. Qualifying contributions must be from:

- **I**ndividuals only;
- **F**ive to one hundred dollars in amount from a single contributor;
- **I**n-district or In-state to the required threshold for the office sought;
- **N**ot from individuals who are prohibited sources (such as a communicator lobbyist or a principal of state contractor) or otherwise non-qualifying; and
- **D**ocumented and disclosed.

## **Raising Qualifying Contributions**

Major party candidates and minor party candidates who qualify for the full grant amount may only raise contributions during the qualifying period. Once qualified for a grant, a participating candidate may raise no additional money and must use only the grant money provided through the Program, plus any remaining qualifying contributions and unspent personal funds provided by the candidate before applying for the grant.

There is one exception to this rule. Minor party or petitioning candidates who qualify for a partial grant in the amount of 1/3 or 2/3 of the applicable full grant amount for that office may continue to raise contributions. These candidates can raise additional contributions that meet the criteria for qualifying contributions, subject to Program guidelines, up to the full grant amount for the particular covered office.

[Conn. Gen. Stat. §§ [9-702\(c\)](#), [9-704\(d\)](#), [9-706\(b\)\(4\)](#), [9-707](#)]



**Important Note:** The Secretary of the State will provide to any participating candidate an electronic copy of the voter registration list for his or her applicable district, free of charge. [Conn. Gen. Stat. § [9-715](#)] You may contact the Secretary of the State's Legislation and Elections Administration Division at 860-509-6100.

## Raising Qualifying Contributions in Exploratory Committee

*Candidates may begin collecting qualifying contributions during the exploratory committee stage.* A candidate who has an exploratory committee is permitted to accept a contribution of three hundred and seventy-five dollars (\$375) from an individual human being if the candidate certifies on the exploratory committee's registration statement that he will not be a candidate for State Representative or two hundred and fifty dollars (\$250) from an individual human being if the candidate does not so certify (an exploratory committee may also accept contributions from party committees and political committees within certain limits). However, a contribution accepted in an exploratory committee will only qualify as a qualifying contribution if it is from an individual human being and does not exceed one hundred dollars (\$100).

A candidate in exploratory committee who raises contributions in excess of one hundred dollars (\$100) from individual contributors has two options. First, the candidate's exploratory committee can keep and spend the entire contribution – but since it exceeds one hundred dollars (\$100), it does not count as a qualifying contribution and does not count toward the qualifying threshold. However, that same contributor may subsequently make a qualifying contribution to the candidate committee. Second, if the exploratory committee wishes to count the contribution as a qualifying contribution, the committee must refund the portion of the contribution in excess of one hundred dollars (\$100) to the contributor *before* the exploratory committee dissolves.

**THE COMMISSION RECOMMENDS** that treasurers of exploratory committees send photocopies of qualifying contribution documentation with EACH campaign finance disclosure statement for contributions reported in each period. This will allow Commission staff to begin drafting an analysis of the contributions collected thus far. Commission staff will then share with the committee an initial draft, letting it know how many of its contributions collected thus far could meet the criteria for qualifying contributions and how many may be cured. This information gives the committee a head start toward finalizing their grant application.

For more information on transferring qualifying contributions as surplus to the candidate committee, see Chapter X, Termination of the Committee: Distribution of Surplus and Elimination of Deficits.

[Conn. Gen. Stat. §§ [9-608\(f\)](#), [9-704\(a\)\(1\)-\(4\)](#); [Declaratory Ruling 2007-02](#)]



## Solicitors

A *solicitor* is any individual who is appointed by the campaign treasurer to receive, but not deposit or spend, funds or resources on behalf of the committee. Receiving funds is different than merely asking that donations be given to a committee. One that merely asks for donations to be transmitted to a committee is not a solicitor.

Candidates, their treasurers and deputy treasurers, as well as volunteers and campaign workers, may personally solicit funds for the campaign. Treasurers and deputy treasurers do not need to be appointed as solicitors in order to solicit funds. Treasurers, however, do need to appoint the candidate and any campaign workers or volunteers who will be receiving funds on behalf of the campaign as official solicitors.

[Conn. Gen. Stat. § [9-602 \(a\)-\(b\)](#)]

The treasurer is required to keep records (which should include copies for both the committee and for the Commission) of each solicitor appointment, including an accurate list of the name and address of each individual who is appointed to serve as a solicitor and the terms of appointment. There are no limitations on the number of solicitors that the treasurer may appoint. The treasurer is responsible for training solicitors to comply with the relevant requirements regarding soliciting and accepting contributions.

The following rules apply to solicitors:

- Solicitors must be appointed by the committee treasurer;
- Solicitors may receive monetary donations on behalf of the committee, but may never deposit them (only the treasurer can deposit and spend campaign money) and may never spend or authorize anyone else to spend such donations;
- Solicitors must deliver all contributions, in the form received, to the campaign treasurer within seven (7) days of receipt;
- Solicitors must submit to the treasurer a list of the names and addresses of all persons whose contributions were received; and
- Solicitors must collect contribution certification documentation for qualifying contributions they receive and must provide the documentation to the treasurer when delivering the contributions; otherwise, these contributions will not be considered qualifying contributions.

[Conn. Gen. Stat. §§ [9-601\(14\)](#), [9-606\(a\)](#), [9-606\(c\)](#), [9-622\(11\)](#)]

## Limitations on Who May Solicit Contributions

Although there are no limitations on the number of solicitors that the treasurer may appoint, the following individuals cannot serve as solicitors of Statewide Office or General Assembly exploratory or candidate committees: communicator lobbyists, their



immediate family members and agents, and state department heads and deputy department heads.

Principals of state contractors and prospective state contractors, including their spouses and dependent children over the age of eighteen (18), with respect to a contract with the *executive* branch may not serve as a solicitor of a candidate committee of a Statewide Office candidate. Principals of state contractors and prospective state contractors, including their spouses and dependent children over the age of eighteen (18)), with respect to a contract with the *legislative* branch may not serve as solicitor of a candidate committee of a General Assembly candidate. These same restrictions apply with respect to a candidate in an exploratory committee unless the candidate is exploring both a General Assembly office and a Statewide office, in which case a principal of a state contractor or prospective state contractor with respect to a contract with either branch may not serve as a solicitor.

In addition, principals of investment services firms and members of the Investment Advisory Council may not solicit contributions on behalf of an exploratory or candidate committee established by a candidate for State Treasurer. Moreover, the following individuals are prohibited from soliciting contributions from a principal of an investment services firm on behalf of a exploratory or candidate committee established for any public office: the State Treasurer or any candidate for State Treasurer, any agent of any such candidate, the Deputy State Treasurer, any member of the State Investment Advisory Council, and any unclassified employee in the office of the State Treasurer acting at the direction of the State Treasurer or Deputy State Treasurer.

Municipal employees are prohibited from soliciting funds for the benefit of any candidate from an individual under the supervision of such employee or their spouse or dependent children. Note that elected officials are generally not considered municipal employees.

In addition, there are certain limitations on solicitations by chiefs of staff. A chief of staff of a legislative caucus may not solicit contributions from an employee of the legislative caucus; a chief of staff for a Statewide elected official may not solicit contributions from a member of such official's staff; and a chief of staff of the Governor or Lieutenant Governor may not solicit contributions from a member of the Governor or Lieutenant Governor's staff or from any commissioner or deputy commissioner of any state agency.

[Conn. Gen. Stat. §§ [9-601\(14\)](#), [9-610\(e\)](#), [9-612\(f\)](#) and [\(g\)](#), [9-622\(11\)-\(12\)](#) & [\(14\)-\(16\)](#)]

## **Fundraising in the Program**

As previously discussed, qualifying contributions are small dollar donations given by individual human beings in order to show a level of *public support* for the participating candidate. Since qualifying contributions are intended to show a significant level of public support for the candidate seeking public funds, participating candidate



fundraising includes some restrictions not found in the private campaign financing system.

The participating candidate's fundraising tools should not include offering valuable gifts as a *quid pro quo* for qualifying contributions. When a participating candidate sells or exchanges valuable items to raise contributions, the contributions may not clearly evince support for a particular candidate. Accordingly, participating campaigns must not hold auctions, tag sales or raffles to raise qualifying contributions.

Traditional fundraisers which include the serving of food remain generally permissible. For example, participating candidates may continue to hold spaghetti dinners or ice cream socials as part of their fundraising. Additionally, participating candidates may give away traditional campaign paraphernalia such as bumper stickers, t-shirts, hats, buttons, or other similar items.

*Example of Improper Fundraiser:* A participating candidate's cousin is a rock star who offers to perform at a fundraising event for the candidate's committee. In order to attend, guests are required to buy a \$100 ticket online. Normally, this singer performs in stadiums and large concert halls and seating close to the stage costs \$150 or more per ticket. Even if each person attending completes a Qualifying Contribution Certification Form, the attendees have received something of significant value in return for making a contribution and the donative intent necessary to demonstrate public support through a qualifying contribution is not present.

*Example of Permissible Fundraiser:* A participating candidate plans an ice cream social in her district as a fundraising event. The candidate will speak at the event, which is open to the public. Each adult entering the event is asked to make a contribution of between \$5 and \$100 to support the candidate. Committee volunteers ensure that each contributor completes and signs a Qualifying Contribution Certification Form.

Participating candidates are encouraged to discuss any fundraising questions with the Candidate Services Unit.

## **Joint Fundraising**

A participating candidate may engage in joint fundraising, to raise qualifying contributions, with another participating candidate or candidates' committee(s).

Participating candidates engaging in joint fundraising should *not* form a separate political committee to sponsor the joint fundraising event(s). Instead, the committees must agree and document the terms of the joint fundraising event and all related expenditures before making or committing to make any expenditures for any joint fundraising event.

Each participating candidate's committee must agree to pay—and must actually pay—its proportional share of the cost of the joint fundraising event.





Each participating candidate partaking in joint fundraising events must make sure that each individual contributor is knowingly and voluntarily making a qualifying contribution to demonstrate support of the recipient candidate. This is because participating candidates are required to raise qualifying contributions to demonstrate that they have substantial support from the people they seek to represent. Each qualifying contribution represents a show of support from the contributor to the participating candidate receiving the contribution. Thus, participating candidates engaging in joint fundraisers are not allowed to “pass the hat” at the joint fundraiser and split the proceeds amongst the participating candidates.

**Important Note:** Each committee participating in a joint fundraiser must have its own treasurer, deputy treasurer or properly appointed solicitor(s) available to receive contributions to that committee. If a single donor wishes to donate to more than one committee at the joint fundraiser, the donor must write a separate check to each committee and complete a separate qualifying contribution form for each contribution.

Participating candidates sponsoring joint fundraising events should do so cautiously, carefully documenting all contributions and expenditures relating to the joint fundraising event. Failure to document the agreement and all contributions and expenditures relating to the fundraiser may result in a violation of the Program’s requirements. Be sure to include documentation for any underlying bills, such as individual vendor invoices—do not rely on blanket documentation for repayments to the other committee.

The Commission strongly recommends that each candidate committee pay vendors directly. Joining with other committees complicates accounting in terms of Program expenditure limits and documentation of qualifying contributions. Moreover, once a candidate committee receives grant money, it **cannot** reimburse another candidate committee for expenditures made for a joint event since a qualified candidate committee cannot make expenditures to another committee.

During the qualifying period, a candidate committee that makes an expenditure to benefit other candidates must be reimbursed by the other candidates at the time of the expenditure to avoid making a prohibited contribution. *Pro rata* means the proportion of space or time devoted to a single candidate in relationship to all other candidates. In the case of a printed fundraising invitation, *pro rata* means the proportion of space devoted to each candidate. In the case of audio or video invitation, *pro rata* means the percentage of time used. The Commission will permit any reasonable allocation that is made in good faith by the treasurer of the candidate committee making the expenditure that benefits other candidates. Again, reimbursements can only occur during the qualifying period when expenditures to other committees are permissible.

[\[Regs., Conn. State Agencies § 9-706-2\(b\)\(8\)\]](#)



## Volunteers, Travel, House Parties, and Facility Space

The committees of participating candidates may accept the following goods and services to facilitate the fundraising process:

- Volunteer services from individuals (including the candidate) donating their time;
- Un-reimbursed payments by an individual of his or her own travel expenses while volunteering services to the campaign, up to a cumulative value of two hundred dollars (\$200) per volunteer for a single election cycle; and
- “House parties,” or the cost of invitations, food and beverages provided to a candidate by an individual hosting an activity in his or her home (owned or leased) up to a cumulative value of two hundred dollars (\$200) per candidate in a single election cycle. If a husband and wife, for example, are co-hosting a fundraising event in their house, then they can each provide invitations, food, and beverages up to two hundred dollars (\$200) each, or four hundred dollars (\$400) total. In order for the event to qualify for the “house party” exemption, the entire cost of the event (invitations, food, beverages, etc.) should not exceed the \$200/\$400 amount. The campaign cannot plan to hold a far more expensive event and merely pay for any amount that exceeds that limit. In other words, the \$200/\$400 amount is not an offset for a more expensive party. Alternatively, the home owner can provide his or her home free of charge and the campaign can pay for the entire event.
- The use of a business entity or organization’s facility space at a discount or for free, provided the business entity or organization: (1) customarily makes the space available to clubs, civic or community organizations or other groups at a discount or for free; (2) makes the space available on the same terms given to other groups using the space; and (3) makes the space available to any other candidate or candidate committee upon request.

The provision of these goods and services is not considered to be an in-kind contribution.

**Important Note:** The prohibition against in-kind contributions does not include the provision of volunteer time and services by individuals or the use of personal electronics by such volunteers. Volunteers, treasurers and candidates are permitted to use their own electronic devices they already own such as computers and cell phones. This use is not considered to be an in-kind contribution, nor does it need to be reimbursed. Otherwise, the Commission recommends payment for all goods and services.

[Conn. Gen. Stat. § [9-601a\(b\)\(4\)](#), [9-601a\(b\)\(5\)](#), [9-601a\(b\)\(7\)](#); [Advisory Opinion 2010-02](#)]

## Qualifying Contributions from a Joint Checking Account

Under Connecticut law, a contribution by personal check must be attributed to the signer of the check. If both account holders of a joint checking account sign a single check, half of the amount of the contribution must be attributed to each. If only one



signatory to the joint checking account signs the check, the full amount of that check must be attributed to the signer, even if both individuals have signed separate qualifying contribution certification forms.

[Conn. Gen. Stat. § [9-606\(b\)](#)]

*Example:* John and Sue Brown each wish to contribute \$100 to a participating candidate's committee. Each completes a separate qualifying contribution certification form with \$100 as the amount, but only John signs the \$200 contribution check. The contribution is attributed solely to John, who has now given a \$200 non-qualifying contribution (because it exceeds \$100 in the aggregate from an individual). If the committee has deposited the check, it must refund \$100 to John Brown, and obtain a separate check for \$100 signed by Sue Brown.

See Chapter IX, Recordkeeping and Disclosure, for information on disclosing contributions in Section B of [SEEC Form 30](#).

## Spending Qualifying Contributions

The candidate committee of a candidate who is participating in the Program may spend any or all of its qualifying contributions from the first dollar raised, up to the threshold amount for that office: two hundred and fifty thousand dollars (\$250,000) for a candidate for Governor, seventy-five thousand dollars (\$75,000) for a candidate for any other Statewide Office, fifteen thousand dollars (\$15,000) for a candidate for State Senate, eleven thousand two hundred and fifty dollars (\$11,250) if a special election for a candidate for State Senate, five thousand dollars (\$5,000) for a candidate for State Representative, or three thousand seven hundred and fifty dollars (\$3,750) if a special election for a candidate for State Representative.

As noted above, **buffer** qualifying contributions raised in the candidate committee *cannot be spent* but must be transmitted to the Citizens' Election Fund at the time of application.

[Conn. Gen. Stat. § [9-702\(c\)](#)]





## IV. APPLYING FOR GRANTS

No participating candidate is automatically entitled to receive public funds. The Commission mandates strict compliance with Program requirements. With this in mind, the Commission will do all it can to help guide participating candidates and treasurers through the application process and to maintain open communication with campaigns that are applying for public funds. The Commission will work with campaigns to remedy curable mistakes that may have been made during the application process.

[Conn. Gen. Stat. § [9-702\(a\)](#)]

**Important Note:** The Commission recommends that the committee (1) contacts its assigned Candidate Services Liaison a week or two before submitting a grant application; (2) reviews the Grant Application Checklist at the end of this chapter; and (3) remains aware of application deadlines. **A committee that applies at the very last deadline (July 16, 2010 for a primary campaign and October 8, 2010 for a general election campaign) will not have time to remedy curable mistakes and may not be able to qualify for a grant.**

### Ballot Requirement

To be eligible to receive public funds, the participating candidate must have already qualified to appear on the ballot for the primary, special election and/or general election for which he or she seeks public funds. The Office of the Secretary of the State in Connecticut administers the ballot qualification process. You may contact the Secretary of the State at (860) 509-6100 (or toll-free at (800) 540-3764).

[Conn. Gen. Stat. §§ [9-388](#), [9-452](#), [9-453](#)]

### Completing a Grant Application

The grant application package has four (4) parts:

- (1) A completed and signed grant application form ([SEEC Form CEP 15](#));
- (2) A completed and signed campaign finance disclosure statement ([SEEC Form 30](#)) that itemizes all financial activity since the last filed disclosure statement, complete as of no more than three (3) days before the date of submission;
- (3) Photocopies of documentation of qualifying contributions (Qualifying Contribution Certification Forms or other required documentation); and
- (4) A committee check made out to "Citizens' Election Fund" for the amount of any excess qualifying contributions (i.e., the "buffer").

**Important Note:** At the time the grant application is filed the treasurer must report *all* contributions received by the Committee since the time of the last filing, even if they have not all been deposited. The treasurer must also report all expenses incurred or expenditures paid as of not more than three (3) days prior to the application deadline date.

[Conn. Gen. Stat. § [9-706\(b\)-\(c\)](#)]



## **(1) The Application Form ([SEEC Form CEP 15](#))**

The candidate and treasurer must complete and sign the grant application. The candidate and treasurer must swear to the truth of the application under penalty of false statement.

In the grant application, the candidate and treasurer must certify that the committee has:

- Raised documented qualifying contributions equal to or exceeding both parts of the required two-part threshold;
- Abided by the expenditure limits;
- Accepted no personal loans, but only bank loans in the limited aggregate amount of one thousand dollars (\$1,000), and repaid all such bank loans;
- Received no more than the allowable amount of personal funds from the candidate;
- Returned all non-qualifying contributions or portions of contributions that exceed the one hundred dollar (\$100) limit per contributor; and
- Transmitted all excess qualifying contributions to the Citizens' Election Fund.

The candidate and treasurer must further certify that the committee will:

- Comply with all of the provisions of Chapters 155 and 157 of the Connecticut General Statutes and maintain and furnish all records required by the laws and regulations;
- Adhere to expenditure limits;
- Spend grant money only for permissible expenditures as prescribed in Commission regulations; and
- Return all unspent public grant money ("surplus") to the Citizens' Election Fund after the election.

The candidate also has the option of electing a continuance so that if the Commission determines that the candidate's application is not sufficient, the Commission can continue the application without prejudice so that the candidate has the opportunity to fix curable flaws. If the candidate does not elect this option, then the application will be denied and he or she will have to reapply.

In addition to the grant application, the candidate must submit to the Commission documentation demonstrating ballot qualification. For example, a candidate applying for a primary grant based upon a convention endorsement will need to provide to the Commission a date-stamped copy of the certificate of endorsement signed by the chairman or presiding officer, or Secretary of the State or district convention that was filed with the Secretary of the State on behalf of the party's endorsed candidate. (Secretary of the State's Form ED-634 *et al.*) The Commission staff will remain in regular communication with the staff of the office of the Secretary of the State to determine a



participating candidate's ballot status and eligibility. However, it is ultimately the candidate's responsibility to provide copies of these forms. *The Commission will not approve an application for a grant without proof of ballot qualification.*

[Conn. Gen. Stat. §§ [9-388](#), [9-452](#), [9-453](#), [9-706\(a\)\(2\),\(b\), and \(c\)](#), [9-710\(b\)](#)]

## **(2) Cumulative Itemized Accounting—Initial Itemized Statement accompanying application for Public Grant ([SEEC Form 30](#))**

Each itemized accounting on SEEC Form 30 must disclose all funds received, expenditures made, and expenses incurred, but not yet paid, beginning with the first day not included in the committee's last filed itemized statement, and ending as of three (3) days before the date of submission of the report. If desired, the treasurer may report all financial activity as of two (2) days or one (1) day before the date of submission, provided that the entire day's activities (until midnight) of the final or cut-off day are reported. The treasurer must report on [SEEC Form 30](#) at the time of grant application every contribution the committee has received during the period covered by the report, even if the contribution has not yet been deposited. However, the treasurer cannot include activity from the same day that the [SEEC Form 30](#) is submitted.

The treasurer must provide all required information on the [SEEC Form 30](#), and itemize all contributions, regardless of amount, and complete every applicable box in Section B, "Itemized Contributions from Individuals" of the [SEEC Form 30](#). The campaign treasurer must sign the form and swear to its truth under penalty of false statement.

[Conn. Gen. Stat. § [9-706\(c\)](#)]

As previously discussed, a participating candidate may provide his or her current candidate committee with assets purchased by that candidate's candidate committee in a previous election cycle. Such "prior assets" typically include those bearing the candidate's name such as banners, stationery, palm cards, thank you notes, lawn signs, domain names, and campaign paraphernalia. Prior assets provided to the current campaign prior to grant application are valued at their original purchase price and count toward the candidate's personal funds limit. The amount of the initial grant will be reduced by the value of the candidate's personal funds used, including the prior assets provided. The campaign treasurer must report the value of the prior assets in Section O of [SEEC Form 30](#).

[[Advisory Opinion 2008-02](#)]

## **(3) Documentation of All Qualifying Contributions**

**Important Note:** The Commission requires qualifying contribution documentation in support of the application. See Chapters IX and XI on Recordkeeping and Disclosure and Compliance and Enforcement for more information.



The campaign must submit copies of documentation to substantiate *each* qualifying contribution raised. Typically, candidates raise qualifying contributions long before applying for a grant. To facilitate this process, committee treasurers may submit qualifying contribution back-up documentation with an earlier quarterly campaign finance disclosure statement ([SEEC Form 30](#)) (i.e. the January 10, April 10, or July 10 statements) prior to grant application. The Commission ***strongly recommends*** that committees take advantage of this opportunity for early feedback in order to correct mistakes and qualify for a grant more quickly. Early detection of a mistake results in fewer repetitions and less curing to be done under pressure at the time of grant application. In such a case, the campaign then would submit only the remaining required documentation with its grant application (i.e. any back-up documentation not previously submitted) and documentation supporting reconsideration of contributions previously rejected.

Documentation may include photocopies of checks, signed qualifying contributor certification forms, credit card donation records, etc. ***Committees should keep originals of all documents submitted.*** Please see the Raising Qualifying Contributions and Recordkeeping and Disclosure chapters of this Guide for more information.

[[Declaratory Ruling 2007-03](#)]

#### (4) The “Buffer” Qualifying Contributions

At the time of grant application, the committee treasurer must issue a check to the Citizens’ Election Fund for the amount of buffer qualifying contributions, if applicable. The amount of the check is the amount above the aggregate qualifying threshold that the committee raised as a “buffer” (described in detail in the Qualifying Contributions section of this Guide).

[Conn. Gen. Stat. §§ [9-704\(d\)](#), [9-706\(b\)\(4\)](#)]

### Initial Review of Disclosure Statement Before Submission with Grant Application

It is the treasurer’s responsibility to review the disclosure statement prior to submitting the grant application in order to ensure that all required information is included. Furthermore, if campaign finance disclosure statements are filed via eCRIS, it is strongly recommended that the treasurer utilize the “review filing” feature prior to electronically submitting the disclosure statement accompanying a grant application. “Review filing” allows a treasurer to double-check the disclosure statement and to make necessary changes prior to a final electronic submission. For more information on electronic campaign finance reporting, see the eCRIS pages of the Commission’s website at <http://seec.ct.gov/eCris/eCrisHome.aspx>. ***It is strongly suggested that treasurers call their Candidate Services Liaison to discuss any questions about the disclosure statement prior to submitting a grant application.***



## Grant Determinations

After a grant application package is submitted, the committee treasurer should be available to respond to questions from the Commission's staff during the application review period. The Commission can approve, deny or continue its review of, without prejudice, an application upon the request of an applying candidate. Such actions can only be taken at a meeting of the Commission.

After approving an application, the Commission will determine the applicable grant amount and notify the candidate. The Commission will then use CORE-CT, the state electronic accounting system, to transmit the grant. The amounts of the grants are discussed in Chapter V.

A candidate committee that has been approved for a grant is known as a *qualified candidate committee*.

[Conn. Gen. Stat. § [9-706\(d\)](#)]

**Important Note:** The Commission has implemented an electronic funds transfer process for ensuring that the grant funds are received expeditiously. The candidate is advised to submit [SEEC Form CEP 12](#) (Confidential Electronic Funds Transfer) as early as possible—preferably at the time of submission of the [SEEC Form CEP 10](#) (Affidavit of Intent to Abide by Expenditure Limits)—to ensure a smooth and timely transfer of funds.

## Continuance or Re-Application

In the event an application is continued without prejudice, or denied, the Commission will notify the candidate committee about why the application was not approved. Candidates that find themselves in this position should not be discouraged. If the Commission continues an application or does not approve an application due to curable flaws, the candidate and treasurer should discuss correction and, if necessary, re-application with their Candidate Services Liaison.

If a candidate whose grant application is rejected chooses *not* to re-apply, such a candidate must file with the Commission an affidavit certifying his or her withdrawal from the Program ([SEEC Form CEP 13](#)). However, the candidate must comply with all Program requirements, including expenditure limits, until the Commission reviews the withdrawal affidavit and deems the candidate to be a nonparticipating candidate.



## No Deposits after Grant is Received

After the initial grant is deposited into the qualified candidate committee's depository account, the committee may *not* deposit any contribution, loan or personal funds. There are two exceptions to this rule:

- A qualified candidate committee of a minor party or petitioning candidate that *did not receive a full general election grant* may continue to raise contributions meeting the criteria of qualifying contributions to make up the difference between the grant received and the full grant amount, and may deposit those contributions in the candidate committee depository account.
- Refunds, rebates, bank interest and returns of rental deposits may be deposited and must be disclosed. Interest generated from grants, however, must ultimately be remitted to the Citizens' Election Fund.

[Conn. Gen. Stat. § [9-702\(c\)](#), [9-706\(b\)\(4\)](#), [9-707](#)]

*Example:* Petra is a participating petitioning candidate for state representative in the 30<sup>th</sup> District. She collected eligible signatures on nominating petitions equaling 15% of all votes cast for state representative, 30<sup>th</sup> District, in the 2008 election. Committee to Elect Petra raised the required amount of qualifying contributions, and otherwise followed all Program requirements before applying for a general election grant. Petra's committee received a grant from the Program that was two thirds of the full grant amount. Committee to Elect Petra may raise additional documented contributions of no more than \$100 in the aggregate from any individual contributor up to the full grant amount.

## Deadlines for Receipt of Grant Applications

Beginning in the middle of May, completed grant applications will be considered by the Commission on a weekly basis. All applications submitted by five o'clock p.m. on a Thursday will be considered within four business days of that Thursday. During the third week of June through the third week of July, additional Commission meetings may be scheduled to consider grant applications.

Grant applications for the August 10, 2010 primary must be *received* by no later than five o'clock p.m. on July 16, 2010. Grant applications for the November 2, 2010 General Election must be *received* by no later than five o'clock p.m., on October 8, 2010.





## Grant Application Deadlines & Commission Meeting Dates

<b>Application Deadlines – 5:00 p.m. on the following:</b>	<b>Commission Meeting Dates</b>
Thursday, May 20	Wednesday, May 26
Thursday, May 27	Thursday, June 3
Thursday, June 3	Wednesday, June 9
Thursday, June 10	Wednesday, June 16
Thursday, June 17	Wednesday, June 23
Thursday, June 24	Wednesday, June 30
Thursday, July 1	Thursday, July 8
Thursday, July 8	Wednesday, July 14
Thursday, July 15	Wednesday, July 21
Friday, July 16	Wednesday, July 21*

**Primary Grant Applications Will Not Be Accepted After July 16 at 5 p.m.**

Thursday, July 22	Wednesday, July 28
Thursday, July 29	Wednesday, August 4
Thursday, August 5	Wednesday, August 11
Thursday, August 12	Wednesday, August 18
Thursday, August 19	Wednesday, August 25
Thursday, August 26	Wednesday, September 1
Thursday, September 2	Thursday, September 9
Thursday, September 9	Wednesday, September 15
Thursday, September 16	Wednesday, September 22
Thursday, September 23	Wednesday, September 29
Thursday, September 30	Wednesday, October 6
Thursday, October 7	Thursday, October 14
Friday, October 8	Thursday, October 14*

**General Election Grant Applications Will Not Be Accepted After Oct. 8 at 5 p.m.**

- \* *Applications submitted on Friday, July 16 may be decided on Wednesday, July 21 or Thursday, July 22, if necessary. Applications submitted on Friday, October 8 may be decided on Thursday, October 14 or Friday, October 15, if necessary.*
- \* *During the period beginning with the third week in June through the third week in July, the Commission will hold a second weekly meeting if necessary, but in all events any applications submitted by the application deadlines will be voted upon by the corresponding Commission meeting, as noted above.*

**Important Note:** Candidates are urged to submit their grant applications as early as possible. Candidates who apply on the last possible application date will have little, if any, time to cure any mistakes.



## Checklist for Grant Application

### Affidavit of Intent to Participate

- ☐ Has the candidate file the Affidavit of Intent to Abide by Expenditure Limits and Other Citizens' Election Program Requirements ([SEEC Form CEP 10](#)) no later than four o'clock p.m. on the twenty-fifth (25<sup>th</sup>) day before the day of the primary, if applicable, or on the fortieth (40<sup>th</sup>) day before the day of the election?

### Test Transaction (Electronic Funds Transfer)

- ☐ Has the treasurer completed and submitted an Electronic Funds Transfer Form ([SEEC FORM CEP 12](#)) at least a week before submitting the grant application?
- ☐ Has the treasurer or deputy treasurer confirmed the committee's receipt of the test transaction amount with the Candidate Services Unit?

### Application

- ☐ Has the candidate qualified for the ballot and provided a copy of the certification form from the Secretary of the State?
- ☐ Did the candidate, treasurer and deputy treasurer (if applicable) **initial** every box on the application and sign the application?
- ☐ Do the candidate and the treasurer understand that if there has been any change in the committee information, such as a change in address or other contact information since the candidate filed the registration statement ([SEEC Form 1](#)), the candidate must file an amended registration before or with the application?
- ☐ Will the treasurer be available by telephone during the Commission's grant application review period?
- ☐ Has the candidate agreed, by signing and dating Section E of the grant application form, to permit the Commission to continue its review, without prejudice, of an application after the initial review period, if necessary?

### Qualifying Contributions

- ☐ Did the committee raise qualifying contributions to meet or exceed, as a "buffer", the required qualifying threshold amount (\$250,000 for a candidate for Governor, \$75,000 for a candidate for any other Statewide Office, \$15,000 for a state senate candidate, and \$5,000 for a state representative candidate)?
- ☐ Did the committee raise "in-district" or in-state qualifying contributions to meet or exceed the second part of the two-part threshold (\$225,000 of in-state contributions for a candidate for Governor, \$67,500 of in-state contributions for a candidate for any other Statewide Office, 300 or more contributors in-district for a state senate candidate, and 150 or more contributors in-district for a state representative candidate)?
- ☐ Did the campaign provide with the application a sequentially numbered photocopy of a Qualifying Contribution Certification ("QCC") Form or other permissible documentation (not already provided to the Commission with a prior quarterly statement) for every qualifying contribution to or beyond the qualifying contribution threshold amount? (Note: "QCC Form" used in this checklist refers



to a qualifying contribution certification form completed in full and signed by the contributor.)

- ☐ Did the campaign provide a sequentially numbered photocopy of a QCC Form or other permissible documentation showing a **residence address** for every qualifying contribution?
- ☐ Has the committee received and deposited every contribution and received all contribution documentation from every appointed solicitor?

### **Buffer Qualifying Contributions**

- ☐ Did the treasurer provide a signed committee check made payable to the Citizens' Election Fund at the time of grant submission in the amount of the buffer qualifying contributions (also known as the buffer check)?
- ☐ Will the treasurer be readily available during the grant application period to answer questions or promptly provide a committee check for any adjustment in the amount for transmission to the Citizens' Election Fund?

### **Non-Qualifying Contributions**

- ☐ Did the treasurer return (if not yet deposited) or refund all non-qualifying contributions to the contributors, and report the receipt as well as the refund in [SEEC FORM 30](#), prior to applying for a grant?

### **Deposits**

- ☐ At the time of grant application does the committee depository hold only the following:
  - (1) Unspent qualifying contributions of no more than the applicable threshold;
  - (2) Unspent personal funds provided to the committee by the candidate to the allowable limit (\$20,000 for a candidate for Governor, \$10,000 for a candidate for any other Statewide Office, \$2,000 for a state senate candidate, and \$1,000 for a state representative candidate); and
  - (3) Unspent bank interest not yet transmitted to the Citizens' Election Fund?

### **SEEC Form 30**

- ☐ Has the treasurer completed every applicable section and signed the [SEEC Form 30](#) ("Initial Itemized Statement accompanying application for Public Grant") covering all funds received, expenditures made and expenses incurred but not yet paid by the committee as of at least three days before the application deadline?

**Important Note for Candidates in a Primary:** Although a participating candidate who has qualified for a Program grant for a primary does not need to re-qualify for a general election grant after he or she has won the primary, the candidate does need to file a [SEEC Form 30](#), complete through the day of the primary, so that the Commission can determine the amount of the general election grant for which the candidate qualifies.



# V. CAMPAIGN GRANTS

The Commission will award primary and/or general election grants to qualified candidate committees in the amounts described in this chapter. If the Commission cannot initially determine, at the time it approves an application, whether the participating candidate is opposed by another candidate who has qualified to appear on the ballot, the Commission may still award the *lowest* amount for which the candidate committee is eligible. Once the Commission has knowledge of the Secretary of the State’s determination of official ballot status for any opponent to the participating candidate, the Commission will award any applicable remaining portion of the full applicable grant to the qualified candidate committee.

[Conn. Gen. Stat. § [9-706\(d\)](#)]

## Primary Campaign Grants

When more than one candidate enrolled in a major political party competes for the party’s nomination for a particular office, a “primary” is held. After the party conventions, caucuses or town committee meetings are held to endorse a party candidate, the Secretary of the State certifies which candidates will face primary contests. An enrolled party member may also petition to have his or her name placed on the primary ballot. In order to be eligible for a primary campaign grant, the candidate must qualify for a place on the ballot pursuant to state election laws and the primary must be scheduled.

[Conn. Gen. Stat. §§ [9-382](#), [9-383](#), [9-390](#), [9-400\(b\)](#), [9-700 \(11\)](#)]

### Primary Campaign Grants - Major Party Candidates

<i>Nomination Sought</i>	<i>Primary Grant Amount – Major Party</i>
Governor	\$1,250,000
Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, Attorney General	\$375,000
State Senator	\$36,400
State Representative	\$10,400

[Conn. Gen. Stat. § [9-705\(a\)](#), [\(b\)](#), [\(e\)\(1\)](#), and [\(f\)\(1\)](#)]



## General Assembly Candidates in Party Dominant Districts

Participating candidates for General Assembly offices in “party-dominant” districts are eligible for larger grants in primary campaigns. A party-dominant district is one in which the percentage of active electors in the district who are enrolled in a major party exceeds the percentage of active electors in the district who are enrolled in the other major party by at least 20 percentage points. The party dominant districts are determined by the Secretary of the State and certified to the Commission. [A list of such districts can be found in the Appendix to this Guide.](#)

### Primary Campaign Grants - Major Party Candidates for General Assembly in “Party-Dominant” Districts

<i>Nomination Sought</i>	<i>Primary Grant Amount – “Party-Dominant” District</i>
State Senator	\$78,000
State Representative	\$26,000

[Conn. Gen. Stat. § [9-705\(e\)\(1\) and \(f\)\(1\)](#)]

**Important Note:** Allowable personal funds provided by the candidate in the pre-primary/pre-general election grant period reduce the primary grant by a corresponding amount.

## General Election Campaign Grants

### General Election Campaign Grants - Major Party Candidates

General election grants for major party candidates:

- Are reduced by the amount of unspent primary grant funds if the candidate received a primary grant (additional documents must be submitted post-primary to make such determination);
- Are reduced by any allowable personal funds if the candidate did not have a primary;
- Are reduced to 30% of the full amount if the candidate is unopposed in the general election; and
- Are reduced to 60% of the full amount if the candidate does not face a major party opponent and has only a minor or petitioning party opponent who has not received contributions of any type that are equal to or greater than the amount of qualifying contributions needed for that office to be eligible for a grant (“limited opposition”).

[Conn. Gen. Stat. § [9-705\(j\)\(1\),\(2\),\(3\), and \(4\)](#)]



### Major Party Candidates Grant Amounts General Election Campaign Grants

<i>Office Sought</i>	<i>Candidate Eligible for Full Grant</i>	<i>Candidate Facing Limited Minor Party or Petitioning Party Opposition – Eligible for 60% Grant</i>	<i>Unopposed Candidate – Eligible for 30% Grant</i>
Governor	\$3,000,000	\$1,800,000	\$900,000
Secretary of the State, Treasurer, Comptroller, Attorney General	\$750,000	\$450,000	\$225,000
State Senator	\$88,400	\$53,040	\$26,520
State Representative	\$26,000	\$15,600	\$7,800

[Conn. Gen. Stat. § [9-705\(a\)\(2\)](#), [\(b\)\(2\)](#), [\(e\)\(2\)](#), [\(f\)\(2\)](#), [\(j\)\(3\)](#), [\(j\)\(4\)](#)]

Grants for a special election (to fill a vacancy in the offices of state senator or state representative) are 75% of the respective amounts for a regular election.

### Major Party General Assembly Candidates Grant Amounts Special Election Grants

<i>Office Sought</i>	<i>Special Election Grant Amount – Major Party</i>	<i>Candidate Facing Limited Minor Party or Petitioning Party Opposition – Eligible for 60% Grant</i>	<i>Unopposed Candidate – Eligible for 30% Grant</i>
State Senator	\$66,300	\$39,780	\$19,890
State Representative	\$19,500	\$11,700	\$5,850

[Conn. Gen. Stat. § [9-705\(i\)](#)]





## General Election Campaign Grants - Petitioning Candidates

A candidate who has not won the nomination of a party with ballot access may still qualify for a grant by demonstrating public support through petitioning.

If a petitioning candidate's nominating petition is signed by electors equaling at least 20% of the votes cast for that office in the prior general election, the eligible petitioning candidate in the current election may receive the full grant amount.

If a petitioning candidate's nominating petition is signed by electors equaling at least 15% of the votes cast for that office in the prior general election, the eligible petitioning candidate in the current election may receive 2/3 of the full grant amount.

If a petitioning candidate's nominating petition is signed by electors equaling at least 10% of the votes cast for that office in the prior general election, the eligible petitioning candidate in the current election may receive 1/3 of the full grant amount.

Petitioning candidates who receive less than the full grant amount may raise additional contributions that meet the criteria for qualifying contributions to make up the difference between the grant amount received by such candidate and the full grant amount. These are referred to as differential contributions.

Petitioning candidates who receive a grant and report a deficit in post-election disclosure statements may be eligible to receive supplemental grant money depending on the percentage of votes received by such candidate.

[Conn. Gen. Stat. §§ [9-702\(c\)](#), [9-705\(g\)](#)]

**Important Note:** Petitioning candidates are encouraged to submit their nominating petitions directly to the town clerk. Review may also be facilitated by submitting nominating petitions for incremental tallying. Petitioning candidates use the same petition forms to qualify for ballot access and grants from the Citizens' Election Program.



### Petitioning Candidate Grant Amounts General Election Campaign Grants

<i>Office Sought</i>	<i>Candidate Eligible for Full Grant – Nominating Petition Signed by Electors Equaling at Least 20% of All Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 2/3 Grant – Nominating Petition Signed by Electors Equaling at Least 15% of All Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 1/3 Grant – Nominating Petition Signed by Electors Equaling at Least 10% of All Votes Cast for Office in Prior General Election</i>
Governor	\$3,000,000	\$2,000,000	\$1,000,000
Secretary of the State, Treasurer, Comptroller, Attorney General	\$750,000	\$500,000	\$250,000
State Senator	\$88,400	\$58,933	\$29,466
State Representative	\$26,000	\$17,334	\$8,666

[Conn. Gen. Stat. § [9-705\(g\)\(2\)](#)]

### Petitioning Candidate Grant Amounts Special Election Grants

<i>Office Sought</i>	<i>Candidate Eligible for Full Grant – Nominating Petition Signed by Electors Equaling at Least 20% of All Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 2/3 Grant – Nominating Petition Signed by Electors Equaling at Least 15% of All Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 1/3 Grant – Nominating Petition Signed by Electors Equaling at Least 10% of All Votes Cast for Office in Prior General Election</i>
State Senator	\$66,300	\$44,200	\$22,100
State Representative	\$19,500	\$13,000	\$6,500

[Conn. Gen. Stat. § [9-705\(g\)\(2\)](#) and [\(i\)](#)]

**Important Note:** Petitioning candidates (and minor party candidates) must also raise the standard threshold amount of qualifying contributions applicable to the office sought to be eligible for a grant under the Citizens' Election Program.



## **General Election Campaign Grants - Minor Party Candidates**

Candidates who have the nomination of a minor party may demonstrate public support either through prior vote totals or through petitioning.

If a candidate for the same office representing the same minor party in the prior election received 20% or more of the votes cast for that office, the eligible minor party candidate in the current election may receive the full grant amount.

If a candidate for the same office representing the same minor party in the prior election received at least 15% of the votes cast for that office, the eligible minor party candidate in the current election may receive 2/3 of the full grant.

If a candidate for the same office representing the same minor party in the prior election received at least 10% of the votes cast for that office, the eligible minor party candidate in the current election may receive 1/3 of the full grant.

If a candidate for the same office representing the same minor party in the prior election received less than 10% of the votes cast for that office, the eligible minor party candidate in the current election may qualify for a grant by gathering signatures on nominating petitions approved by the Secretary of the State.

Like petitioning candidates, minor party candidates who receive less than the full grant amount may continue to raise differential contributions. They may also be eligible to receive supplemental grant money depending on the percentage of votes received by such candidate. See Chapter VIII of this Guide for more information.

[Conn. Gen. Stat. §§ [9-702\(c\)](#), [9-705\(g\)\(1\)and \(3\)](#); [Declaratory Ruling 2008-01](#)]



### Minor Party Candidate Grant Amounts General Election Campaign Grants

<i>Office Sought</i>	<i>Candidate Eligible for Full Grant – Prior Party Candidate Received at Least 20% of Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 2/3 Grant - Prior Party Candidate Received at Least 15% of Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 1/3 Grant - Prior Party Candidate Received at Least 10% of Votes Cast for Office in Prior General Election</i>
Governor	\$3,000,000	\$2,000,000	\$1,000,000
Secretary of the State, Treasurer, Comptroller, Attorney General	\$750,000	\$500,000	\$250,000
State Senator	\$88,400	\$58,933	\$29,466
State Representative	\$26,000	\$17,334	\$8,666

[Conn. Gen. Stat. § [9-705\(g\)\(1\)](#)]

### Minor Party Candidate Initial Grant Amounts Special Election Grants

<i>Office Sought</i>	<i>Candidate Eligible for Full Grant – Prior Party Candidate Received at Least 20% of Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 2/3 Grant - Prior Party Candidate Received at Least 15% of Votes Cast for Office in Prior General Election</i>	<i>Candidate Eligible for 1/3 Grant - Prior Party Candidate Received at Least 10% of Votes Cast for Office in Prior General Election</i>
State Senator	\$66,300	\$44,200	\$22,100
State Representative	\$19,500	\$13,000	\$6,500

[Conn. Gen. Stat. § [9-705\(g\)\(1\) and \(i\)](#)]



## VI. CAMPAIGN EXPENDITURES

Campaign funds may be spent only to advance the candidacy of the participating candidate. Public funds must be spent in accordance with Program regulations. In order to comply with the Program, candidates and their campaign treasurers must:

- Designate a single checking account for the deposit of all funds received by the committee and disclose the name of the depository institution on [SEEC Form 1](#) at the time of registration;
- Pay for expenditures with a committee check, check card or debit card drawn on the campaign's account — use of cash should be minimal and is restricted by Program regulations and use of credit cards is not permitted; and
- Document each expenditure in order to provide the Commission with proof of the nature and purpose of all campaign spending.

A participating campaign's election spending will be examined through post-election audits conducted to ensure compliance with Program requirements. Campaign treasurers should keep documents, such as receipts and copies of checks, to substantiate all expenditures.

[Conn. Gen. Stat. §§ [9-602\(a\)](#), [9-607](#)]

### Permissible Expenditures

All expenditures must be made to promote the nomination or election of the candidate who established the committee. The campaign treasurer is the only individual who may authorize and who may make any committee expenditures.

**Important Note:** Candidates are **required** to report any expenditures they make on behalf of the committee to the treasurer. Candidates should specify that they are seeking reimbursement or else that they will utilize part of their allowable "personal funds." It is imperative that the candidate keep the treasurer informed on an ongoing and timely basis so that Program requirements can be properly monitored and reported.

Costs traditionally associated with running a political campaign are normally considered to be valid expenditures. Examples of expenditures of campaign funds that are generally permissible include:

- Advertising and publicity expenses, including campaign paraphernalia;
- Costs of promotional events (including election day events)—food, rental, staffing, and entertainment;
- Polling and "get-out-the-vote" activities for the participating candidate;
- Food and beverages for campaign staff—capped at fifteen dollars (\$15) for breakfast, twenty dollars (\$20) for lunch, and thirty dollars (\$30) for dinner, per person, per occasion, inclusive of tax and gratuities;



- Travel expenses for campaign meetings, voter contact or other similar campaign related activities;
- Salaries for staff and fees for professional consultants, as long as the employee or consultant is not the candidate or a member of the candidate's extended family and, if the salary or fee is or is anticipated to be over one hundred dollars (\$100), the treasurer obtains a written agreement, prior to the work being done, and maintains records documenting the actual work performed;
- Office expenses, such as rent, supplies, and rental or purchase of equipment and furniture; and
- Limited post election expenses, including the cost of photocopying records to comply with the Program's auditing process and a limited amount of thank you notes or advertising.

This list, which is by no means exclusive or exhaustive, offers some examples of legitimate campaign expenses that fall within the lawful purposes of a participating candidate's committee. Keeping detailed, contemporaneous spending records—a practice required for participating candidates and their campaigns—will allow the Commission to verify that funds were spent in accordance with the Program regulations. *The Commission will consider any expenditure that lacks detailed, contemporaneous documentation an impermissible expenditure.*

[Conn. Gen. Stat. §§ [9-607](#), [9-703](#); [Regs., Conn. State Agencies §§ 9-607-1](#), [9-706-1](#), [9-706-2](#)]

*Example:* A candidate committee decides to hire a web designer to create a committee website at a rate of \$30 per hour. The designer estimates that it will take him at least five hours to complete the website design. Because the fee is anticipated to be over \$100, the committee must have a written agreement in place before any work is begun which lays out the nature and duration of the fee arrangement and a description of the scope of work to be performed. The committee must also maintain records documenting the actual work performed or services rendered.

## Reimbursement for Authorized Expenditures

The campaign may reimburse a committee worker or the candidate for expenses they paid for out of pocket as long as the expense was authorized by the committee treasurer, documented, and permissible.

When a participating candidate or committee worker uses personal funds (including payments via personal credit or debit card) to make authorized expenditures on behalf of the committee and seeks reimbursement, they must be reimbursed within a reasonable time. *The Commission has stated that reimbursement within forty-five (45) days of the date the expenditure was made or incurred is generally a reasonable amount of time.*

[Conn. Gen. Stat. § [9-607\(j\)](#)]





## Joint Expenditures with Another Committee

A “joint expenditure” is an expenditure shared by more than one committee, where each committee pays it proportional, *pro rata* share of the expense. While a candidate committee is prohibited from making any contributions or expenditures that benefit other candidates or committees, a candidate committee may:

- Pay its *pro rata* share of the expenses of operating a campaign headquarters and of preparing, printing, and disseminating any political communication that benefits its candidate. If the expense is paid initially by the other candidate committee, it may be reimbursed before a participating candidate receives a grant. After receiving a grant, the participating candidate must pay *pro rata* expenses directly to the vendors; and
- Before receiving a public grant, reimburse another committee for any expenditure (other than a permitted “organization expenditure”) that such committee has made or incurred for the benefit of the candidate committee. After receiving a grant, a participating candidate committee cannot make expenditures, including reimbursements, to other committees.

[Conn. Gen. Stat. §§ [9-610\(b\)](#); [Regs., Conn. State Agencies § 9-706-2 \(b\) \(8\)](#)]

A candidate committee that makes a coordinated expenditure with another candidate committee or committees must disclose it in Section N of [SEEC Form 30](#), entitled *Expenses Paid by Committee*, along with the name or names of the other candidates supported, together with an indication that the expense was coordinated with reimbursement sought. Reimbursement must be received within a reasonable time in order for the committees to avoid making or receiving a prohibited in-kind contribution. Again, generally speaking, the Commission has said reimbursement within forty-five (45) days of the date of the coordinated expenditure is reasonable.

**Important Note:** *Pro rata* means the proportion of space or time devoted to a single candidate in relationship to all other candidates. In the case of a printed fundraising invitation, *pro rata* means the proportion of space devoted to each candidate. In the case of audio or video invitations, *pro rata* means the percentage of time used. The Commission will permit any reasonable allocation that is made in good faith by the treasurer of the candidate committee making the expenditure that benefits other candidates. The best practice is to keep notes about how the *pro rata* allocation was calculated. Also, be sure to keep documentation for any underlying bills, such as individual vendor invoices—do not rely on blanket documentation for repayments to the other committee or to a vendor.

[Conn. Gen. Stat. §§ [9-608\(c\)\(1\)\(C\)](#), [9-610\(b\)](#), [9-616\(a\)\(5\)](#)]



The Commission urges participating candidate committees who choose to share the expenses of operating a campaign headquarters or preparing, printing, or disseminating any political communication as described above to keep detailed documentation of each committee's *pro rata* share of expenditures. Failure to do so may result in the making or receiving of an impermissible "in-kind" contribution, in violation of the Program's requirements.

**In addition, after a participating candidate committee receives a grant, it may not make *any* expenditures to any other committee.** Regulation section [9-706-2 \(b\)\(8\)](#) explicitly provides that participating candidates and their treasurers "shall not spend funds in the participating candidate's depository account for . . . contributions, loans or expenditures to or for the benefit of another candidate, political committee or party committee."

If they are eligible to file a Declaration of Joint Campaign by Participating Candidates for Governor and Lt. Governor, [SEEC Form CEP 18](#) or once the general election period has begun for them, candidates for Governor and Lieutenant Governor may have additional options with respect to expenditures from their campaigns which promote the other candidate. For more information, these candidates should refer to [Advisory Opinion 2010-04](#).

## Impermissible Expenditures

Committee expenditures that are *not* made to directly promote the nomination or election of the candidate who established the candidate committee are improper or impermissible expenditures. The campaign treasurer is the only individual who may authorize any committee expenditures.

For participating candidate committees, impermissible expenditures generally include goods or services in the following categories:

### (1) **Personal Use**

No goods, services, funds or contributions received by any committee may be made available for the personal use of any candidate or individual.

Expenditures for "personal use" include expenditures to defray normal living expenses for the candidate, the immediate family of the candidate, or any other individual as well as costs of personal appearance (hairstyling, cosmetics, cosmetic treatments) or the candidate's household day-to-day supplies, merchandise, clothing or attire, even if such personal items (such as the participating candidate's residence or business suits) are used for campaign related purposes, are impermissible.

[[Regs., Conn. State Agencies § 9-706-2\(b\)\(1\) and \(2\)](#)]



## (2) **Payments to Candidate or Candidate's Family Members or their Businesses**

A participating candidate's committee may *not* make payments to the candidate *or* any of the candidate's family members as outlined in the chart below. The only exception to this rule is for properly authorized and claimed reimbursements for expenses made by the candidate or a family member who volunteers his/her time or services to the committee. The campaign may never pay family members for their services or time.

Additionally, the campaign may not make any payments to an entity in which the participating candidate or member of the candidate's family has a 5% or greater ownership interest.

### **Candidate's Family Members**

<b>Candidate's</b>	<b>Candidate Spouse's or Domestic Partner's</b>
Spouse or domestic partner	
Sibling	Sibling
Sibling's spouse or partner	Sibling's spouse or partner
Sibling's child (nephew or niece)	Sibling's child
Sibling's child's spouse or partner	Sibling's child's spouse or partner
Child	Child
Child's spouse or domestic partner	Child's spouse or domestic partner
Grandchild	Grandchild
Grandchild's spouse or domestic partner	Grandchild's spouse or domestic partner
Parent	Parent
Parent's spouse or domestic partner	Parent's spouse or domestic partner
Grandparent	Grandparent
Grandparent's spouse or domestic partner	Grandparent's spouse or domestic partner
Sibling of candidate's parent (aunt or uncle)	Sibling of spouse or partner's parent (aunt or uncle)
Aunt or uncle's spouse or domestic partner	Aunt or uncle's spouse or domestic partner
Child of aunt or uncle (cousin)	Child of aunt or uncle (cousin)
Cousin's spouse or domestic partner	Cousin's spouse or domestic partner

[[Regs., Conn. State Agencies § 9-706-2\(b\)\(3\) and \(4\)](#)]

## (3) **Contributions to Other Committees or Gifts of Any Kind to Any Person**

A participating candidate's committee may **not** make expenditures for:

- Contributions or loans to or for the benefit of another candidate, political committee, or party committee (including purchase of a ticket to another committee's event or space in a committee's ad book);



- Any joint expenditure where the committees do not share expenses on a pro rata basis;
- Donations to a charity or community organization;
- Gifts of any kind, if the value exceeds five dollars (\$5); and
- Post-election bonus payments to campaign staff or volunteers.

[[Regs. Conn. State Agencies § 9-706-2\(b\)](#)]

**Important Note:** Since candidate committees cannot use public funds to donate to charities, this means, among other things, that a candidate committee cannot hold a food drive in connection with one of its fundraising or meet-and-greet events.

#### (4) **Payments for Goods or Services Above Fair Market Value**

A participating candidate's committee may not pay more or less than the fair market value for goods or services received, including computers and office equipment, but may take advantage of discounts offered to the general public.

[[Regs., Conn. State Agencies § 9-706-2\(b\)](#)]

#### (5) **Expenditures Lacking Sufficient Contemporaneous Documentation of a Campaign-Related Purpose**

Any expenditure for which the campaign does not have sufficient contemporaneous documentation to prove that the payment was made to advance the participating candidate's nomination or election may be considered an impermissible expenditure. Keeping accurate and complete records is necessary for participating candidates and their campaigns.

[[Regs., Conn. State Agencies § 9-706-1\(b\)](#)]

Chapter IX, "Recordkeeping and Disclosure" goes into more detail about keeping records, including a definition of *contemporaneous*, examples, and information regarding sufficient expenditure documentation.

#### (6) **Other Improper Expenditures**

Other impermissible expenditures include, but are not limited to:

- Any expense that is not ultimately paid from the committee's depository account;
- Any expense that is not authorized by the treasurer;
- Purchase of an office or a vehicle;
- Vehicle or transportation expenditures unrelated to the campaign, or campaign mileage and fuel expenses reimbursed at a rate higher than the IRS' standard mileage rate for business deductions (<http://www.irs.gov/pub/irs-drop/rp-09-54.pdf>);



- Individual *cash* expenditures in excess of fifty dollars (\$50). A participating candidate committee's petty cash fund shall not exceed one hundred (\$100) at any time;
- Expenditures in violation of any federal, state or local law;
- Expenditures incurred but not paid where payment is made contingent on whether the participating candidate receives a Program grant;
- Expenditures to other committees, including reimbursements, after the participating candidate receives a Program grant; and
- Penalties or fines (including fines imposed by your bank).

[[Regs. Conn. State Agencies § 9-706-2\(b\)](#)]

Participating candidates should direct any questions about the legality of an expenditure to Commission staff, through their assigned Candidate Services Liaison, *before* spending or committing to spend campaign funds.

## Bank Interest

The committee may *not* expend interest earned on deposits of qualifying contributions, allowable personal funds, or Program grant money deposited into its designated depository, as such an expenditure may cause them to exceed expenditure limits. The treasurer must track the accrued interest as reported by the bank and transmit the interest to the Citizens' Election Fund in a lump sum at the time of the committee's transmission of its surplus to the Fund within ninety (90) days after the election. Bank interest must be disclosed in the committee's financial disclosure statement (in Section G of the [SEEC Form 30](#)), as well as its transmission to the Fund (in Section N).

[Conn. Gen. Stat. § [9-707](#)]

## Expenditure Limits

Spending limits exist for three discrete periods of an election cycle: (1) the period before a primary campaign and general election campaign (the pre-primary/pre-general election period); (2) the primary campaign (if applicable); and (3) the general election campaign.

Until the convention or meeting for nominating or endorsing a candidate is held, the pre-primary/pre-general election period expenditure limits apply. Expenditures, including those incurred or obligated but not yet paid, are limited to the required amount of qualifying contributions, plus any allowable personal funds the candidate provides to the candidate committee.



## Pre-Primary/Pre-General Election Campaign Period Expenditure Limits

<i>Office Sought</i>	<i>Aggregate Qualifying Contributions (QC)</i>	<i>Maximum Allowable Personal Funds (PF)</i>	<i>Spending Limit (QC + PF)</i>
Governor	\$250,000	\$20,000	\$250,000 - \$270,000
Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, Attorney General	\$75,000	\$10,000	\$75,000 - \$85,000
State Senator	\$15,000	\$2,000	\$15,000 - \$17,000
State Representative	\$5,000	\$1,000	\$5,000 - \$6,000

[Conn. Gen. Stat. §§ [9-702\(c\)\(A\)](#), [9-705](#), [9-710](#)]

**Example 1, Within the Limits:** A participating candidate for State Representative provides \$500 of personal funds as seed money to start her campaign. Her expenditure limit for the pre-primary/ pre-general election period is \$5,500, which is calculated by adding the amount of required qualifying contributions (\$5,000) plus the amount of personal funds provided (\$500).

Any initial grant received by the candidate will be reduced by the \$500 of personal funds provided (i.e., if this candidate receives a primary grant, the primary grant is reduced by \$500; if she wins the primary, then she receives the full amount of the general election grant since her primary grant has already been reduced to offset the personal funds provided).

Thus, a candidate may wish to provide personal funds during the pre-primary/pre-general election period for seed money or because the candidate would like to spend more than the amount of qualifying contributions during the pre-primary/pre-general election period, or both.

**Example 2, Exceeding the Limits:** A participating candidate for State Senator provides no personal funds, and thus has a spending limit of \$15,000 during the pre-primary/pre-general election period. His candidate committee has spent \$10,000 of the qualifying contributions on permissible campaign expenses. Before nomination, the campaign treasurer purchases campaign paraphernalia for \$7,500.

Because the campaign treasurer has made aggregate expenditures for the pre-primary/ pre-general election period (\$17,500) exceeding the applicable expenditure limit of \$15,000, the committee has impermissibly violated the Program's requirements.

**Important Note:** An expenditure is made at the time the obligation to make the expenditure is incurred.





## Primary & General Election Campaign Expenditure Limits

The primary period begins when the convention or meeting for nominating or endorsing a candidate is held. The general election period begins on the day following the primary, or if no primary is held, on the day the party-endorsed candidate is deemed to be the nominee. During the primary and general election campaign periods, the amounts a candidate committee may spend are calculated by adding the amount of grant monies the committee is eligible to receive, including any supplemental grants that are awarded during that campaign period *and* any unspent qualifying contributions or unspent personal funds provided by the candidate.

**Example 3, Crossing campaign periods in a primary:** A participating candidate seeks a major party nomination for the office of State Representative. The candidate faces a primary contest. His candidate committee has raised sufficient qualifying contributions and otherwise complied with Program requirements.

The candidate provides \$1,000 in personal funds to his candidate committee during the pre-primary/pre-general election campaign period. His expenditure limit for that period is, thus, \$6,000 (the \$5,000 amount of required qualifying contributions plus the \$1,000 of personal funds provided).

During the pre-primary/ pre-general election period, his candidate committee spends \$5,300. After the party convention, the candidate committee's depository account contains a balance of \$700. The candidate applies for a primary campaign grant and receives an initial primary grant of \$9,400 (\$10,400 full grant, minus the \$1,000 personal funds provided).

During the primary campaign period, his candidate committee has \$10,100 to spend (calculated by adding the \$9,400 primary grant plus the \$700 balance remaining from the qualifying contributions and personal funds collected in the pre-primary/ pre-general election period).

[Conn. Gen. Stat. §§ [9-702\(c\)\(B\)](#), [9-705](#), [9-710](#); [Regs., Conn. State Agencies § 9-702-1](#)]

## Minor Party and Petitioning Candidates May Raise Additional Contributions

Minor and petitioning party candidates who receive grants of one-third or two-thirds of the full grant amount can continue to raise additional contributions, known as *differential contributions*, and spend these additional funds up to the amount of the full applicable grant for major party candidates. Any differential contributions they collect must still meet the criteria for qualifying contributions and cannot be collected from contributors who have already given the \$100 limit, and the candidate's committee must stay within overall expenditure limits.



**Example 4, Petitioning Candidate raises "differential" qualifying contributions after receiving a grant:** A participating petitioning candidate for State Representative collects eligible signatures on nominating petitions equaling 16% of all votes cast for state representative in her district in the last regular election. The petitioning candidate provides no personal funds to her committee and raises a total of \$5,000 in qualifying contributions, including contributions from at least 150 individuals who reside in municipalities located in whole or part in the district she seeks to represent. During the pre-primary/pre-general election period, the committee spends all of its qualifying contributions.

The candidate applies for a general election grant, and the Commission approves her application. The candidate receives a grant of \$17,334 (2/3 of the full applicable grant amount of \$26,000). The candidate's committee may raise differential contributions not to exceed \$8,666, in order to make up the difference between the grant received and the full grant. Any differential contributions received must meet the criteria for qualifying contributions (i.e. be between \$5 and \$100 in the aggregate, from an individual human being).

[Conn. Gen. Stat. §§ [9-702\(c\)](#), [9-705\(g\)\(1\)](#) and [\(2\)](#)]

## Effect of Supplemental Grants on Expenditure Limits

When a participating candidate faces a *high-spending opponent* — defined as a candidate who has (1) raised more funds than, **or** (2) expended or obligated to spend more funds than the applicable expenditure limit of a participating candidate in the same race, the candidate may qualify for supplemental grant money. In addition, when a participating candidate becomes the target of an individual, entity, or committee making independent expenditures, the candidate may qualify for supplemental grant money as well. The expenditure limit of the participating candidate will be increased by the amount of the supplemental grant and the candidate can spend the full amount of any supplemental grant. See Chapter VIII Supplemental Grants for further information.

**Example 5, Receiving a supplemental grant:** A participating candidate for State Representative raises \$5,000 in qualifying contributions. There is no primary for the nomination, and the candidate receives an initial grant for the general election in the amount of \$26,000.

For purposes of calculating when a participating candidate is eligible to receive supplemental grant money resulting from an opponent's excess receipts or expenditures, the applicable expenditure limit is the total of the required amount of qualifying contributions (\$5,000) plus the applicable full grant amount (\$26,000), or a total of \$31,000 (in this example).

A nonparticipating opponent's funds received reaches a total of \$32,000. By raising or spending more than 100% of the participant's applicable expenditure limit of \$31,000,



the nonparticipating candidate has excess receipts or expenditures, which triggers the disbursal of supplemental grant money (\$6,500, 1/4 of the original grant) to the participating candidate. In turn, the participating candidate may spend all of the supplemental grant money and his expenditure limit for the general election campaign period is now \$37,500 (\$31,000 plus the \$6, 500 supplemental grant).

[Conn. Gen. Stat. §§ [9-702\(c\)](#), [9-713](#), [9-714](#)]

## What Happens if a Participating Campaign Makes an Excess Expenditure?

In exchange for a public campaign grant, participating candidates voluntarily agree to abide by expenditure limits and to follow all Program requirements. If a participating candidate makes or incurs an excess expenditure, any participating opponents in that race may receive supplemental grant money.

[Conn. Gen. Stat. §§ [9-703](#), [9-712](#), [9-713](#)]

In addition, penalties and other consequences apply if a qualified candidate committee which has received a grant from the Citizens' Election Fund makes or incurs an excess expenditure:

- (1) The candidate and campaign treasurer are jointly and severally liable to pay for the excess expenditure;
- (2) If the candidate and/or the campaign treasurer were aware of the excess expenditure, the candidate committee is prohibited from receiving any additional grants from the Citizens' Election Fund for the rest of the election cycle;
- (3) If the candidate and/or the campaign treasurer were aware of the excess expenditure, the candidate will be deemed a nonparticipating candidate for the rest of the election cycle;
- (4) The campaign treasurer is subject to civil penalties, including but not limited to monetary fines; and
- (5) The participating candidate who has exceeded the spending limits may be deemed ineligible to receive supplemental grant money if a nonparticipating candidate makes an excess expenditure.

[Conn. Gen. Stat. §§ [9-7b](#), [9-711](#)]

If the Commission determines that an excess expenditure made by a participating candidate is *de minimis*, the Commission may modify or waive these penalties. When evaluating whether such an excess expenditure is *de minimis*, the Commission considers these factors:

- (1) The amount of the excess expenditure in relation to the applicable expenditure limit;



- (2) Whether any unforeseen extraordinary circumstances, such as a natural disaster, contributed to the excess expenditure;
- (3) Whether the participating candidate and campaign treasurer acted diligently to follow the expenditure limit;
- (4) Whether the participating candidate or the treasurer used personal funds to either pay for the excess expenditure or reimburse the candidate committee for the amount of the excess expenditure upon becoming aware of the problem; and
- (5) Whether the participating candidate or the treasurer agrees to pay any penalties assessed by the Commission in relation to the excess expenditure.

[Conn. Gen. Stat. §§ [9-711\(a\)](#), [9-712](#); [Regs., Conn. State Agencies § 9-711-1](#)]

**Important Note:** Penalties may also apply to an individual who, *without the direct or indirect consent of the candidate or the treasurer*, makes or incurs an expenditure on behalf of a qualified candidate committee that exceeds the applicable spending limit. Such expenditures (1) require the individual to repay the Fund the amount of the excess expenditure and (2) subject the individual to civil penalties imposed by the Commission.

[Conn. Gen. Stat. § [9-711\(b\)](#)]

## Advertising Expenditures and Attribution Requirements

There are specific attribution requirements that apply to expenditures made for "*written, typed or printed communications or web-based written communications.*" (Conn. Gen. Stat. § [9-621](#)). These include communications that support or oppose a candidate, that solicit campaign funds, or both.

These communications can take many forms, such as letters, brochures, circulars, websites, e-mails and other web-based communications, billboards, transit advertisements, newspaper advertisements, and campaign signs that are greater than thirty-two (32) square feet in surface area.

### "Paid For By"

The "paid for by" requirement of the law applies to written, typed or printed communications or web-based written communications that promote the success or defeat of any candidate's campaign or solicit funds to benefit any candidate.

A candidate or exploratory committee that finances such a communication must include on the face of the communication the text "paid for by," together with the name of the sponsoring committee and its treasurer.

[Conn. Gen. Stat. §§ [9-621\(a\)](#), [9-621\(b\)\(1\)](#)]



### **“Approved By”**

The law also includes an “approved by” requirement that applies to written, typed, or printed communications or web-based written communications that promote the success or defeat of any candidate’s campaign or solicit funds to benefit any candidate.

Under this requirement, communications financed by any candidate committee must include on the face of the communication the words “approved by” together with the name of the *candidate* who approved the communication, whether or not the communication is in support of the candidate or in opposition to some other candidate.

[Conn. Gen. Stat. § [9-621\(a\)\(2\)](#)]

### **Attribution Requirements for Television or Internet Video Advertising Communications**

In addition to the “paid for by” and “approved by” attribution requirements outlined above, any candidate, candidate committee or exploratory committee that finances any television advertising or Internet video advertising in support of the candidate sponsoring the communication or in opposition to another candidate is required to simultaneously include at the end of the advertising, for a period of not less than four (4) seconds, the following:

- A clearly identifiable photograph or similar image of the sponsoring candidate;
- A clearly readable printed statement identifying the sponsoring candidate and indicating that the sponsoring candidate has approved the advertising; and
- A personal audio message in the following form: “I am (sponsoring candidate’s name or) and I approved this message.”

The advertisement must also include the candidate’s name, image and voice in the narrative of the advertisement.

[Conn. Gen. Stat. § [9-621\(b\)\(1\)](#)]

### **Attribution Requirements for Radio or Internet Audio Advertising Communications**

In addition to the “paid for by” and “approved by” attribution requirements described above, any candidate, candidate committee or exploratory committee that finances any radio advertising or Internet audio advertising in support of the candidate sponsoring the communication or in opposition to some other candidate must include at the end of the advertising a personal audio statement by the sponsoring candidate that:

- Identifies the sponsoring candidate and the elective office(s) being sought; and



- Indicates approval of the advertising in the following form: “I am (candidate’s name) and I approved this message.”

The advertisement must also include the candidate’s name and voice in the narrative of the advertisement.

[Conn. Gen. Stat. § [9-621\(b\)\(2\)](#)]

### **Attribution Requirements for Campaign “Robo” Telephone Calls**

In addition to the “paid for by” and “approved by” attribution requirements described above, any candidate, candidate committee or exploratory committee that makes or incurs an expenditure for automated telephone calls that promote the success of the candidate or the defeat of another candidate must include the candidate’s name and voice in the narrative of the call.

[Conn. Gen. Stat. § [9-621\(b\)\(3\)](#)]

### **Exceptions to the Attribution Requirements**

The attribution requirements outlined above do not apply to editorials, news stories, or commentaries published in a newspaper, magazine, or journal on its own behalf, upon its own responsibility, and not in exchange for any compensation. In addition, banners, political paraphernalia (e.g., pins, buttons, badges, emblems, hats, or bumper stickers) and signs with a surface area of not more than thirty-two (32) square feet (most lawn signs) are exempt from the law’s attribution requirements.

[Conn. Gen. Stat. § [9-621\(d\)](#)]

### **Special Attribution for State Treasurer Candidates**

The campaign treasurer of an exploratory committee or candidate committee for the Office of State Treasurer shall include a statement concerning the investment services ban in any written, typed or other printed communication soliciting funds.

[Conn. Gen. Stat. § [9-621\(f\)](#)]





## Post-Election Spending

Candidates are limited in the post-election expenditures that they can make. Until the candidate committee is terminated, a candidate may only make modest post-election expenditures for routine activities involving nominal costs associated with winding-up a campaign and responding to the post-election audit.

The following expenditures are generally permitted post-election expenditures:

- Utility bills and rent, as well as other unpaid liabilities reported prior to the primary or general election;
- The cost of photocopying campaign financial records in preparation for the post-election audit;
- Reasonable moving expenses related to closing the campaign office;
- Thank-you notes for contributors, campaign volunteers, and staff limited to the following amounts: seven thousand five hundred dollars (\$7500) for a candidate for Governor; three thousand five hundred dollars (\$3500) for a candidate for Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, or Attorney General; one thousand dollars (\$1000) for a candidate for state senator; five hundred dollars (\$500) for a candidate for state representative; seven hundred and fifty dollars (\$750) for a special election candidate for state senator; or two hundred and fifty dollars (\$250) for a special election candidate for state representative; and
- Post-election parties begun on the day of the election (parties to thank volunteers and celebrate may of course be held later but they may not be paid for by the candidate committee) – for more information, please review the [Election Day Parties Reminder](#) handout available on the Commission's website.

[Conn. Gen. Stat. § [9-706](#); [Regs., Conn. State Agencies §§ 9-706-2\(a\)\(12\), 9-706-2\(a\)\(13\)](#)]

The following expenditures are not permitted as winding-up expenditures:

- Post-election mailings other than those specifically mentioned above;
- Making contributions to any person or entity;
- Making bonus payments or gifts to staff and volunteers;
- Hosting a post-election day event, including but not limited to any meal or party; and
- Expenditures for transition and inauguration activities.



## VII. EXPENDITURES BY OUTSIDE SOURCES

In addition to the funds that participating candidates and their candidate committees spend directly during a campaign, individuals, political and party committees, and special interest groups may also spend money to influence an election. Participating candidates should be careful when dealing with these types of expenditures. Expenditures from outside sources could qualify as impermissible in-kind contributions to the campaign, subjecting the candidate committee to penalties and other consequences. These types of outside expenditures typically fall into one of the following three groups:

- (1) *Coordinated expenditures* are expenditures made with the prior knowledge of a candidate or an agent of the candidate but financed by another source. Such coordinated expenditures qualify as contributions under Connecticut law.
- (2) *Organization expenditures* are certain expenditures made by party committees, legislative caucus committees, or legislative leadership committees that benefit a candidate and are not considered to be contributions. Organization expenditures will not cause participating candidate committees to exceed expenditure limits.
- (3) *Independent expenditures* are those made by a person or entity without the consent, participation, or consultation of, a candidate or agent of the candidate committee. Since they are not coordinated expenditures, independent expenditures will not cause participating candidate committees to exceed expenditure limits.

[Conn. Gen. Stat. §§ [9-601\(18\)](#), [9-601\(19\)](#), [9-718](#); [Regs., Conn. State Agencies § 9-706-2](#)]

### Coordinated Expenditures

Participating candidates must be careful when working closely with groups or individuals that support them. Collaborating on strategy or spending with supporters could result in the group making a “coordinated expenditure” on behalf of a candidate committee, which, for a participating candidate, could create many problems.

With [Public Act 10-187](#), the General Assembly amended the definition of coordinated expenditures. These changes created a “rebuttable presumption” that expenditures made in certain ways or by certain persons or groups are coordinated with the candidate. While the candidate committee could overcome this presumption by showing that an expenditure truly was independent, see **Independent Expenditures** below, committees may be served best by knowing how to avoid scenarios that could invoke these presumptions.



The statute points out several instances where the Commission will presume that a coordinated expenditure was made, including where:

- The individual or group making the expenditure and the candidate committee benefiting from the expenditure share the same leadership or consultants;
- The individual or group makes an expenditure in cooperation with a candidate or committee or based on information received from the candidate or someone acting on behalf of the candidate about the candidate's plans or needs;
- The individual or group pays for political advertising or communications that uses material prepared by the benefiting committee or a consultant hired by the benefiting committee;
- The individual or group pays for fundraising affairs on behalf of a committee; and
- The individual or group pays for communications or advertising that clearly identify the candidate and the candidate or a representative of the candidate has been informed about the manner, contents, and target audience, among others, of the communication.

If an expenditure is coordinated by an individual or a committee with a participating candidate and payment or reimbursement is not made by the candidate committee within a reasonable time, the coordinated expenditure constitutes a non-qualifying in-kind contribution to that candidate's campaign. If an expenditure is coordinated by a business entity, labor union, or any other type of entity or individual that is not making the expenditure through a political committee established under Connecticut law and a participating candidate is involved, it is an impermissible in-kind contribution. **Note that reimbursements to other committees cannot be made after public funds are received.**

[[Public Act 10-187](#); Conn. Gen. Stat. §§ [9-601 \(19\)](#), [9-622\(13\)](#), [9-702\(c\)\(B\) and \(C\)](#), [9-706\(b\)\(4\)](#); [Regs., Conn. State Agencies § 9-706-2\(b\)\(8\)](#)]

## Organization Expenditures

Participating candidates may benefit from organization expenditures made on their behalf by *party committees, legislative caucus committees, or legislative leadership committees*, subject to certain dollar limitations which are described below. Connecticut campaign finance law exempts organization expenditures from the definitions of "contribution" and "expenditure."

[Conn. Gen. Stat. §§ [9-601\(2\)](#), [9-601\(25\)](#), [9-718](#)]

Organization expenditures may be made for the following:

- The preparation, display, mailing, or distribution of a party candidate listing. A "party candidate listing" is a communication that (1) lists the name or names of the candidates, (2) is distributed through public advertising, direct mail,



telephone, electronic mail, Internet, or personal delivery, (3) treats all candidates substantially similar, and (4) is ***limited in content*** to candidate photos, the office sought, party enrollment, a brief statement of the candidate's position, philosophy, goals, accomplishments or biography, encouragement to vote for the candidate and information concerning voting, including hours and locations. Such communications cannot promote the defeat of any candidate or solicit funds on behalf of any candidate;

- Printed or electronic documents including party platforms, issue papers, information on Connecticut election law, voter registration lists, and voter identification information that a party, legislative caucus, or legislative leadership committee creates or maintains for party or caucus building and gives to candidates who are members of the same party;
- A campaign event at which a candidate or candidates are present. However, if an entry fee is charged for the campaign event or the event is a fundraiser for the sponsoring committee, the collected funds cannot be used as, or considered to be, qualifying contributions. If the participating candidate attends such an event, he or she may bring a treasurer or designated solicitor to collect qualifying contributions in connection with his or her appearance;
- Advisors on campaign organization, financing, accounting, strategy, law, or media; and
- The use of offices or office equipment that does not result in additional cost to the party, legislative caucus, or legislative leadership committee.

The Commission recommends that candidates, legislative leadership committees, legislative caucus committees, and party committees read the detailed definition of organization expenditures at Conn. Gen. Stat. § [9-601\(25\)](#).

Section [9-718](#) of the General Statutes sets forth the limits on the amount of organization expenditures that a party committee, legislative caucus committee, or legislative leadership committee can make to benefit a participating candidate. Such committees may make up to ***ten thousand dollars (\$10,000)*** in organization expenditures on behalf of a participating candidate running for state senate for a general election campaign and up to ***three thousand and five hundred dollars (\$3,500)*** for a participating candidate running for state representative for a general election campaign. Such committees may not make any organization expenditures on party candidate listings for the benefit of participating candidates for General Assembly during a primary campaign.

There are no limitations on the amount of organization expenditures that a party committee may make on behalf of participating candidates running for Statewide Office. Legislative leadership committees and legislative caucus committees cannot make organization expenditures on behalf of candidates for Statewide Office.



The scope of what constitutes an organization expenditure is construed narrowly. Any committee authorized to make an organization expenditure should seek guidance from the Commission about whether the planned outlay of funds constitutes a permissible organization expenditure.

Committees making organization expenditures and committees of participating candidates benefiting from organization expenditures are subject to reporting requirements. See also Chapter IX of this Guide, Recordkeeping and Disclosure.

[Conn. Gen. Stat. §§ [9-608\(c\)\(5\) and \(c\)\(6\)](#), [9-718](#)]

## Independent Expenditures

Connecticut's campaign finance statutes, as amended by [Public Act 10-187](#), allow individuals, entities, or committees acting alone to make unlimited independent expenditures.

Under the reporting requirements, any individual, committee, or entity that makes or incurs an independent expenditure(s) that exceeds \$1,000 in the aggregate during any primary or election period must file an independent expenditure disclosure statement. The statement must be filed electronically within 48 hours of making the expenditure if it was made or incurred more than ninety (90) days before a primary or election. If the expenditure was made or incurred ninety (90) days or less before a primary or election, then the statement must be filed electronically within 24 hours of making the expenditure.

**Important Note:** If you are a committee that makes or incurs an independent expenditure under \$1,000, you must still report the expenditure on your next quarterly filing. When such expenditure exceed \$1,000 in the aggregate, then you must file within 24/48 hours as outlined above. For example, if your committee makes an independent expenditure of \$700 on January 15<sup>th</sup>, then you will report that expenditure on your April 10<sup>th</sup> filing. If your committee then spends another \$400 on independent expenditures for that same candidate on April 15<sup>th</sup>, you have exceeded \$1,000 and must file within 48 hours.

An independent expenditure may trigger a supplemental grant under certain conditions. See Chapter VIII Supplemental Grants for more information.

[[Public Act 10-187](#), Conn. Gen. Stat. §§ [9-601\(18\)](#), [9-612\(e\)](#), [9-714](#); [Regs., Conn. State Agencies § 9-714-1](#)]



## VIII. SUPPLEMENTAL GRANTS

A participating candidate may qualify for supplemental grant money when:

- He faces a high-spending opponent – defined as a candidate who has (1) raised more funds than, or (2) expended or obligated to spend more funds than the applicable expenditure limit of a participating candidate in the same race; or
- An independent expenditure is made or obligated to be made promoting the participating candidate's defeat.

If a participating candidate receives supplemental grant funds, his expenditure limit will be increased by that amount.

This chapter will first address supplemental grants due to high-spending opponents and then supplemental grants due to independent expenditures.

[Conn. Gen. Stat. §§ [9-702\(c\)](#), [9-712](#), [9-713](#), [9-714](#)]

### Supplemental Grants for Excess Expenditures

#### Required Supplemental Disclosure Statements for Candidates

While nonparticipating candidates are not bound by spending limits, they are subject to supplemental reporting requirements because their receipts or expenditures may trigger supplemental grant payments to participating candidates.

[Conn. Gen. Stat. § [9-712](#)]

**Important Note:** The supplemental reporting provisions apply to **all** candidates in a race with a participating candidate, during a primary campaign period or general election campaign period. Certain supplemental disclosure statements are due within 24 or 48 hours and cannot be mailed to the Commission. For more information, see "How to File Supplemental Disclosure Statements," below.

#### Ninety Percent (90%) Expenditure Trigger

Supplemental reporting for the August 10, 2010 Primary or the November 2, 2010 General Election will be triggered in races with at least one participating candidate when:

- A nonparticipating candidate receives contributions, loans, or other funds which result in the committee's aggregate receipts exceeding 90% of the participating candidate's applicable expenditure limit for that race;





- A nonparticipating candidate makes or obligates to make (expenses incurred) an expenditure which results in the committee's aggregate expenditures exceeding 90% of the participating candidate's applicable expenditure limit;
- A participating candidate receives contributions, loans or other funds in excess of the permissible amount under the Program; or
- A participating candidate makes or obligates to make (expenses incurred) an expenditure which results in the committee's aggregate expenditures exceeding 90% of the applicable expenditure limit.

The applicable trigger amounts are as follows:

<b>Candidate in Primary</b> <i>Full Program Amount</i>	<b>Trigger Amount for</b> <b>Supplemental Reporting –</b> 90% of applicable expenditure limit
Governor \$1,500,000 <i>(\$1,250,000 grant + \$250,000 in qualifying contributions)</i>	\$1,350,000
Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, and Attorney General \$450,000 <i>(\$375,000 grant + \$75,000 in qualifying contributions)</i>	\$405,000
State Senator \$51,400 <i>(\$36,400 grant + \$15,000 in qualifying contributions)</i>	\$46,260
State Senator – Party Dominant District \$93,000 <i>(\$78,000 grant + \$15,000 in qualifying contributions)</i>	\$83,700
State Representative \$15,400 <i>(\$10,400 grant + \$5,000 in qualifying contributions)</i>	\$13,860
State Representative – Party Dominant District \$31,000 <i>(\$26,000 grant + \$5,000 in qualifying contributions)</i>	\$27,900



<b>Candidate in General Election</b> <i>Full Program Amount</i>	<b>Trigger Amount for Supplemental Reporting –</b> 90% of applicable expenditure limit
Governor \$3,250,000 <i>(\$3,000,000 grant + \$250,000 in qualifying contributions)</i>	\$2,925,000
Secretary of the State, Treasurer, Comptroller, and Attorney General \$825,000 <i>(\$750,000 grant + \$75,000 in qualifying contributions)</i>	\$742,500
State Senator \$103,400 <i>(\$88,400 grant + \$15,000 in qualifying contributions)</i>	\$93,060
State Representative \$31,000 <i>(\$26,000 grant + \$5,000 in qualifying contributions)</i>	\$27,900

<b>Candidate in General Election</b> <i>60% of Full Program Amount</i>	<b>Trigger Amount for Supplemental Reporting –</b> 90% of applicable expenditure limit
Governor \$2,050,000 <i>(\$1,800,000 grant + \$250,000 in qualifying contributions)</i>	\$1,845,000
Secretary of the State, Treasurer, Comptroller, and Attorney General \$525,000 <i>(\$450,000 grant + \$75,000 in qualifying contributions)</i>	\$472,500
State Senator \$68,040 <i>(\$53,040 grant + \$15,000 in qualifying contributions)</i>	\$61,236
State Representative \$20,600 <i>(\$15,600 grant + \$5,000 in qualifying contributions)</i>	\$18,540



Candidate in General Election <i>30% of Full Program Amount</i>	Trigger Amount for Supplemental Reporting – 90% of applicable expenditure limit
Governor \$1,150,000 <i>(\$900,000 grant + \$250,000 in qualifying contributions)</i>	\$1,035,000
Secretary of the State, Treasurer, Comptroller, and Attorney General \$300,000 <i>(\$225,000 grant + \$75,000 in qualifying contributions)</i>	\$270,000
State Senator \$41,520 <i>(\$26,520 grant + \$15,000 in qualifying contributions)</i>	\$37,368
State Representative \$12,800 <i>(\$7,800 grant + \$5,000 in qualifying contributions)</i>	\$11,520

**Important Note:** In determining whether your campaign has reached 90% of the applicable expenditure limit, be sure to consider not just expenditures made but also expenditures *incurred*.

## Initial Supplemental Statements

When a triggering receipt or expenditure occurs during the primary campaign period (if applicable) or the general election campaign period, the campaign treasurer of such candidate's committee must file with the Commission a [SEEC Form 30](#), checking the box for "Initial Supplemental Statement" and the corresponding box for "Primary" or "Election," whichever is applicable, in Section 9.

**Important Note:** If a candidate with at least one participating opponent has reached the 90% trigger for the primary campaign period or general election campaign period ***before*** the nominating conventions in May, such candidate will not be required to file its initial disclosure statement until it is known whether such candidate will face a primary. ***Any committee whose candidate has reached the 90% trigger for either the primary campaign or general election campaign periods before or shortly after the nominating conventions period should contact its Candidate Services Liaison immediately for instructions about the deadline for the initial supplemental statement.***

The period covered in the initial supplemental statement must include the financial activity of the candidate committee beginning the first day not covered in the last disclosure statement filed by the treasurer, and ending as of midnight the day on which



the triggering amount of funds was received, or expenditures were made or obligated to be made.

The deadline for filing such statement depends on when the triggering event occurs in relation to the primary or election date.

#### **48 Hours**

***If the Triggering Event is More Than 20 Days Before Primary or Election Date (On or Before July 20, 2010 for a Primary; On or Before October 12, 2010 for General Election)***

Initial supplemental statements must be *filed with and received by* the Commission no later than *48 hours* after receiving the funds or making or incurring the expenditure exceeding 90% of the participating candidate's applicable expenditure limit.

#### **24 Hours**

***If the Triggering Event is 20 Days or Less Before Primary or Election Date (On or After July 21, 2010 for a Primary; On or After October 13, 2010 for the General Election)***

Initial supplemental statements must be *filed with and received by* the Commission no later than *24 hours* after receiving the funds or making or incurring the expenditure exceeding 90% of the participating candidate's applicable expenditure limit.

**Important Note:** Campaigns must be vigilant and monitor receipts and expenditures made or incurred, and timely file initial statements.

## **Weekly or Bi-Weekly Thursday Supplemental Statements**

After any campaign treasurer files an initial supplemental statement, *all treasurers of all candidates in that race, regardless of the committee's own level of receipts or expenditures*, must file periodic supplemental statements with the Commission. ***When the Commission receives an initial supplemental statement triggering weekly or bi-weekly supplemental reports, the Commission will provide notice to all candidates participating in that race. Races for which the Commission has received initial supplemental statements will also be posted on the Commission's website.***

Each weekly or bi-weekly supplemental statement must include all financial activity of the candidate committee beginning the first day not covered by the prior disclosure statement, and ending as of midnight on the Wednesday preceding the Thursday deadline. In section 9 of the [SEEC Form 30](#) summary page, the campaign treasurer should check the box for "Weekly Supplemental Statement" and check the corresponding box for "Primary" or "Election," whichever is applicable.

Nonparticipating candidates who are eligible to file an unitemized disclosure statement, [SEEC Form 21](#) ("Short Form Campaign Finance Disclosure Statement"), may continue to file [SEEC Form 21](#) to comply with the supplemental filing requirements.



When filing [SEEC Form 21](#), the committee treasurer certifies that the committee has not had monetary or non-monetary receipts or made or incurred expenditures in excess of \$1,000 from the time of the committee's creation to the close of the relevant reporting period. In section 8 of [SEEC Form 21](#), the campaign treasurer should check the box for "Supplemental Statement" and check the corresponding box for "Election" or "Primary," whichever is applicable.

The weekly or bi-weekly Thursday supplemental statements must be *filed with and received by* the Commission no later than 4:30 p.m. during business days if filed by hand delivery, or by midnight if filed by facsimile transmission to the Commission's dedicated fax number for supplemental campaign finance statements, electronic mail transmission to the Commission's dedicated electronic mail address for supplemental campaign finance statements or by eCRIS.

**Important Note:** Submit via: (1) Commission's dedicated fax number for supplemental campaign finance statements (860-256-2984), OR (2) to the Commission's dedicated e-mail address for supplemental campaign finance statements [SEEC.eCris.Info@ct.gov](mailto:SEEC.eCris.Info@ct.gov))

#### 1. ***Due Dates for the August 10, 2010 Primary***

##### **If the Initial Supplemental Statement Is Filed on or before July 3, 2010:**

The first periodic supplemental statement is due the second Thursday after the filing date of the Initial Supplemental Statement ("90% statement").

Subsequent supplemental statements are due every other Thursday (bi-weekly), *until July 4, 2010*. Beginning the week of July 4, 2010, all candidates who have filed bi-weekly reports must begin to file **weekly** Thursday reports up to and including Thursday, August 5, 2010 (which is the final Thursday before the Primary).

##### **If the Initial Supplemental Statement Is Filed on or after July 4, 2010**

The first periodic supplemental statement is due the first Thursday following the *later* date described below:

- The first Thursday following the July 10 quarterly campaign disclosure filing date (July 15, 2010); or
- The first Thursday following the filing date of the initial 90% supplemental statement.

Subsequent **weekly** supplemental statements are due every Thursday, up to and including Thursday, August 5, 2010 – the final Thursday before the Primary.



## 2. *Due Dates for the November 2, 2010 General Election*

### **If the Initial Supplemental Statement Is Filed on or before September 25, 2010**

The first periodic supplemental statement is due the second Thursday after the filing date of the Initial Supplemental Statement ("90% statement").

Subsequent supplemental statements are due every other Thursday (bi-weekly), *until September 26, 2010*. Beginning the week of September 26, 2010, all candidates who have filed bi-weekly reports must begin to file **weekly** Thursday reports up to and including Thursday, November 4 (which is the final Thursday *after* the General Election).

### **If the Initial Supplemental Statement Is Filed on or after September 26, 2010**

The first periodic supplemental statement is due the first Thursday following the *later* date described below:

- The first Thursday following the October 10 quarterly campaign disclosure filing date (October 14, 2010); or
- The first Thursday following the filing date of the initial 90% supplemental statement.

Subsequent **weekly** supplemental statements are due every Thursday, up to and including Thursday, November 4, 2010 – the Thursday after the day of election.

[Conn. Gen. Stat. § [9-712\(a\)\(2\) and \(3\)](#)]

**Important Note:** When a candidate committee is filing weekly or bi-weekly reports, the requirement for periodic filing (such as the July 10<sup>th</sup> or October 10<sup>th</sup> filing), as well as the disclosure reports due seven days preceding the primary (if applicable) and seven days before the election, is thereby satisfied for that period as the periods covered by the supplemental statements disclose the required activity for those filing dates. Please contact the Commission's Candidate Services Unit for assistance with these requirements.

## **Declaration of Excess Receipts or Expenditures Statement**

"Excess receipts or expenditures" are (1) contributions, loans or other funds received, or (2) expenditures made, or obligated to be made, by any candidate in a primary or general election that includes a participating candidate, which in the aggregate exceeds 100%, 125%, 150% or 175% of the applicable expenditure limit for a participating major party candidate in that race. Participating candidates who have received public grant funds from the Program are prohibited from accepting funds beyond any supplemental grants from the Citizens' Election Fund, or from incurring or making excess expenditures. Nonetheless, should the candidate committee of a participating candidate receive impermissible funds or make an excess expenditure, supplemental reporting requirements apply.





A declaration of excess receipts or expenditures must be filed with the Commission when the candidate's committee has (1) received contributions, loans or other funds, or (2) made or incurred an obligation to make an expenditure, that, in the aggregate, exceed:

- 100% of the participating candidate's applicable expenditure limit;
- 125% of the participating candidate's applicable expenditure limit;
- 150% of the participating candidate's applicable expenditure limit; and
- 175% of the participating candidate's applicable expenditure limit.

To file such declaration, the treasurer files a [SEEC Form 30](#), checking the box in section 9 for "Declaration of Excess Receipts or Expenditures" and the corresponding box for "Primary" or "Election." Each declaration of excess receipts or expenditures statement must include all financial activity of the candidate committee beginning the first day not covered in the last-filed disclosure statement, and ending as of midnight the day on which the triggering amount of funds were received, or expenditures were made or obligated to be made.

If the excess funds are received or the excess expenditure exceeding 100%, 125%, 150% or 175% of the participating candidate's applicable expenditure limit is made or incurred more than 20 days before the primary or election day (i.e., on or before July 20, 2010 for the Primary or on or before October 12, 2010 for the General Election), declarations of excess receipts or expenditures must be *filed with and received by* the Commission no later than 48 hours after the excess funds are received or the excess expenditure is made or incurred.

If the excess funds are received or the excess expenditure is made or incurred 20 days or less before the primary or election day (i.e., on or after July 21, 2010 for the Primary or on or after October 13, 2010 for the General Election), declarations of excess receipts or expenditures must be *filed with and received by* the Commission no later than 24 hours after the excess funds are received or the excess expenditure is made or incurred.



## 1. *Excess Receipts or Expenditure Triggers in the Primary*

Nomination Sought in Primary	100% of Applicable Expenditure Limit	125% of Applicable Exp. Limit	150% of Applicable Exp. Limit	175% of Applicable Exp. Limit
Governor	\$1,500,000	\$1,875,000	\$2,250,000	\$2,625,000
Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, and Attorney General	\$450,000	\$562,500	\$675,000	\$787,500
State Senator	\$51,400	\$64,250	\$77,100	\$89,950
State Senator-Party Dominant District	\$93,000	\$116,250	\$139,500	\$162,750
State Representative	\$15,400	\$19,250	\$23,100	\$26,950
State Representative-Party Dominant District	\$31,000	\$38,750	\$46,500	\$54,250

[Conn. Gen. Stat. § [9-712](#)]

## 2. *Excess Receipts or Expenditure Triggers in the General Election*

Office Sought in General Election	100% of Applicable Expenditure Limit	125% of Applicable Exp. Limit	150% of Applicable Exp. Limit	175% of Applicable Exp. Limit
Governor	\$3,250,000	\$4,062,500	\$4,875,000	\$5,687,500
Secretary of the State, Treasurer, Comptroller, and Attorney General	\$825,000	\$1,031,250	\$1,237,500	\$1,443,750
State Senator	\$103,400	\$129,250	\$155,100	\$180,950
State Representative	\$31,000	\$38,750	\$46,500	\$54,250

[Conn. Gen. Stat. § [9-712](#)]

## How to File Supplemental Disclosure Statements

Initial supplemental statements, bi-weekly or weekly supplemental statements, and declarations of excess receipts or expenditures must be *filed with and received by* the Commission by the applicable deadline, even if that deadline falls on a weekend or legal holiday.

All such supplemental campaign finance disclosure statements must be submitted to the Commission no later than 4:30 p.m. during business days if filed by hand delivery, or by midnight if filed by facsimile transmission to the Commission's dedicated fax number (860-256-2984) for supplemental campaign finance statements, electronic mail transmission to



the Commission's dedicated electronic mail address ([SEEC.eCris.Info@ct.gov](mailto:SEEC.eCris.Info@ct.gov)) for supplemental campaign finance statements, or by eCris.

The subject line of a facsimile transmission or submission by electronic mail should state, as applicable:

- August 10, 2010 Primary: Initial Supplemental Statement;
- August 10, 2010 Primary: Weekly or Bi-weekly Supplemental Statement;
- August 10, 2010 Primary: Declaration of Excess Receipts or Expenditures;
- November 2, 2010 General Election: Initial Supplemental Statement;
- November 2, 2010 General Election: Weekly or Bi-weekly Supplemental Statement; or
- November 2, 2010 General Election: Declaration of Excess Receipts or Expenditures.

**The original signed statements must also be mailed to the Commission immediately following the fax or email transmission on the first business day that the Post Office is open.**

[Conn. Gen. Stat. § [9-712](#); [Regs., Conn. State Agencies § 9-712-1](#)]

**Important Note:** Supplemental disclosure statements are the **only** statements accepted by fax or e-mail. The Commission will **not** accept any other disclosure statement by fax or e-mail.

## Penalties for Exceeding Expenditure Limits

Spending limits represent an essential part of a successful public campaign financing system. Participating candidates and treasurers who exceed the Program's expenditure limits may face serious penalties for their violations.

[Conn. Gen. Stat. § [9-711](#)]

## How and When Candidates Receive Excess Expenditure Supplemental Grants

The Commission makes a determination of excess receipts or expenditures based upon supplemental campaign finance disclosure reports or its own investigation, or both. Candidates can also request a supplemental grant by filing a SEEC Form CEP 16, Citizens' Election Program – Supplemental Grant Request.

**Important Note:** Candidates should be sure to check eCRIS document search on the Commission website frequently during their campaigns to keep abreast of their opponents' filing activities.



### **Initial Supplemental Grant Release Trigger (100% of Applicable Expenditure Limit)**

If the Commission determines that a nonparticipating candidate has reached an aggregate spending or funding level that is greater than one hundred percent (100%) of the applicable expenditure limit for that office for the primary or general election period, the Commission issues a voucher to the Office of the State Comptroller, which transmits supplemental grant funds in the amount of twenty-five percent (25%) of the full grant amount into the bank account of each participating candidate in that race.

### **Further Supplemental Grant Release Triggers (125%, 150%, 175% of Applicable Expenditure Limit)**

Similarly, when a nonparticipating opponent's aggregate receipts or expenditures exceed one hundred twenty-five percent (125%), one hundred fifty percent (150%), or one hundred seventy-five percent (175%) of the applicable expenditure limit, participating candidates in that race will receive an additional twenty-five percent (25%) of the applicable full grant amount at each trigger.

[Conn. Gen. Stat. § [9-712](#)]

### **Supplemental Payments for Participating Candidates Facing Nonparticipating Opponents**

<b>Nomination or Office Sought</b>	<b>Primary, Party Dominant Primary or General Election</b>	<b>Amount of each 25% Supplemental Grant Given When Opponent hits Trigger Point (i.e., 100%, 125%, 150%, 175% of participant's applicable expenditure limit)</b>
Governor	Primary	\$312,500
	General Election	\$750,000
Other Statewide Office	Primary	\$93,750
	General Election	\$187,500
State Senator	Primary	\$ 9,100
	Party Dominant Primary	\$19,500
	General Election	\$22,100
State Representative	Primary	\$ 2,600
	Party Dominant Primary	\$ 6,500
	General Election	\$ 6,500



## Supplemental Grants for Independent Expenditures

If the Commission receives an independent expenditure report, or makes a determination that a reportable independent expenditure has been made but not reported, and the independent expenditure expressly advocates the defeat of a participating candidate, the targeted participating candidate may be entitled to receive a supplemental grant. The targeted participating candidate may also initiate the Commission's review by filing a SEEC Form CEP 16, Citizens' Election Program – Supplemental Grant Request.

The supplemental grant will be equal to the amount of the independent expenditure, confirmed or estimated by the Commission. If the targeted candidate is opposed by a nonparticipating candidate, he will only be entitled to a supplemental grant if the opposing nonparticipating candidate's campaign expenditures, plus the amount of the independent expenditure, exceed the applicable grant amount.

The maximum aggregate amount of supplemental grant money a candidate may receive to match independent expenditures is an amount equal to the applicable primary or general election grant amount.

For more information on when an individual, committee, or entity making the independent expenditure must file their independent expenditure report, please see Chapter VII Expenditures by Outside Sources.

[Conn. Gen. Stat. § [9-714](#)]



## IX. RECORDKEEPING AND DISCLOSURE

This chapter describes required recordkeeping, documentation, and disclosure requirements for participating candidate committees. Campaigns must file campaign finance disclosure statements and maintain and furnish upon the Commission's request detailed documentation of campaign activity, including contributions and expenditures.

### Types of Records

Campaign treasurers of *all candidate and exploratory committees* must report all campaign activity and keep complete records of all receipts and expenditures reported on periodic campaign finance disclosure statements. Candidate committees of *participating candidates* must maintain detailed documentation of:

- Qualifying contributions and the return of non-qualifying contributions (see also Chapter III, Qualifying Contributions);
- The amount of expenditures (to remain within expenditure limits) (see also Chapter VI, Campaign Expenditures);
- The purpose of expenditures (grant money must be used for permissible purposes only); and
- Records to substantiate all expenditures, including but not limited to lease agreements, rebates, credits, and refunds.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-608\(a\)](#), [9-607](#), [9-704](#); [Regs., Conn. State Agencies § 9-706-2](#)]

**THE COMMISSION RECOMMENDS that treasurers review their bank statements when preparing their financial disclosure statements to ensure that all transactions listed on the bank statement are disclosed in the corresponding financial disclosure statement and likewise, that all expenses listed in the financial disclosure statement are reflected on the corresponding bank statement.**

### Internal Records

The treasurer must retain internal records in order to substantiate all claimed permissible receipts and expenditures made by the committee, as well as bank records and documentation of fundraising events. For examples of types of such records, please see the Treasurer' Best Practices Checklist on "Records to Obtain, Copy, and Keep" at the end of this chapter.

**THE COMMISSION RECOMMENDS that treasurers maintain copies of all records to submit during the post-election audit, as well as the required set of originals.**





If the candidate committee's bank does not provide copies of records, such as deposit slips, the treasurer must record and maintain all deposit information in order to create proper records. The treasurer must also obtain photocopies or electronic images of all committee checks written for committee expenditures.

These internal records must be kept for four (4) years from the date on which the candidate committee's final campaign finance disclosure statement ([SEEC Form 30](#)) is required to be filed. Either the campaign treasurer or the candidate must maintain these records. Internal records also must be kept in support of each entry on the campaign's financial disclosure statements.

[Conn. Gen. Stat. §§ [9-607\(f\)](#), [9-712](#)]

## Contribution Records

To document all contributions received, the treasurer must maintain three general categories of records:

- *Receipts of all contributions received*, including copies of checks and money orders, copies of completed and signed contribution certification forms, credit card contribution records and deposit slips for all bank deposits.
- *All written or printed fundraising materials*, including a detailed record of each fundraising event (which indicates the date and location of the event) and a list of each contribution received at, or in connection with, the event.
- *Solicitor information*, including a list of all solicitors, and an accounting of the contributions received by each solicitor.

[Conn. Gen. Stat. § [9-606](#)]

The treasurer must account for and disclose all the funds received and deposited by the campaign, as well as all the expenditures made by the campaign.

**Important Note:** The treasurer is required to deposit in the campaign's depository account all funds received within fourteen days of receiving them, except that contributions that exceed \$50 in the aggregate must be accompanied by a certification and may not be deposited until this is received.

[Conn. Gen. Stat. §§ [9-606](#); [9-607](#); [9-608\(c\)](#), [9-706](#); [Declaratory Ruling 2007-03](#)]

## Qualifying Contribution Documentation

All qualifying contributions must be carefully documented in order for the Commission to review candidates' grant applications and to determine whether reported qualifying contributions are from permissible sources. The treasurer is responsible for demonstrating that all reported qualifying contributions meet the criteria for qualifying contributions.



To demonstrate that all claimed qualifying contributions are from permissible sources and in permissible amounts, candidates and campaign treasurers must collect and maintain, and produce to the Commission, backup documentation, including but not limited to copies of checks, money orders, check card, debit card and/or credit card contribution records, and contribution certification documentation for each cash, money order, and debit card and credit card contribution not made over the internet. The documentation must be *contemporaneously* created, which means it must be created and recorded at the time each transaction takes place.

[\[Declaratory Ruling 2007-03\]](#)

**THE COMMISSION RECOMMENDS** that treasurers send photocopies of qualifying contribution documentation with EACH campaign finance disclosure statement for contributions reported in each period. This will allow Commission staff to begin drafting an analysis of the contributions collected thus far. Commission staff will then share with the committee an initial draft, letting it know how many of its contributions collected thus far could meet the criteria for qualifying contributions and how many may be cured. This information gives the committee a head start toward finalizing their grant application.

Maintaining accurate and well-organized records will help the campaign comply with Program requirements and will facilitate review of the candidate's grant application. Further, diligent recordkeeping and maintenance will aid the candidate and treasurer during any audits that may occur pre- or post-election.

***Most importantly, the failure to maintain and/or provide these records may lead to a determination that any such undocumented contributions do not meet the criteria for qualifying contributions.***

In addition, any individual who makes a contribution in any form that separately or in the aggregate exceeds fifty dollars (\$50) **must** certify that he or she is not a communicator lobbyist, a member of the immediate family of a communicator lobbyist, or a principal of a state contractor or prospective state contractor.

The treasurer must also record and maintain all information needed to complete [SEEC Form 30](#). For each contribution, this must include:

- The name and residential street address of the contributor;
- The method of contribution;
- The date the contribution was received;
- The amount of the contribution, as well as the aggregate contributions of the contributor, if applicable;
- The principal occupation of the contributor, and the name of employer (if the contributor is unemployed, retired, a student, or a homemaker, he or she must be reported as such); and



- That the contributor is not a communicator lobbyist, a member of the immediate family of a communicator lobbyist, or a principal of a current or prospective state contractor.

The treasurer should collect this information from contributors using one of the Commission's sample Qualifying Contribution Certification forms (see below) or some other similar method that captures all of the information required by the Commission's sample forms.

**Important Note:** It is always illegal for the campaign to accept any contribution from communicator lobbyists, members of their immediate family, and from principals of current or prospective state contractors, *regardless of dollar amount*. The treasurer should, therefore, collect certification forms even for contributions that do not exceed fifty dollars (\$50) in the aggregate. If a treasurer deposits a contribution based on a certification that is later determined to be false, the treasurer will not be found by the Commission to be in violation of the prohibition. In other words, the treasurer may rely on the contributor certification and without one, the treasurer will be strictly liable for violating the bans.

Failure to maintain or to produce adequate internal records will result in a determination that the candidate committee is not eligible to receive a grant from the Citizens' Election Fund.

[§§ [9-606\(a\)](#), [9-607\(f\)](#), [9-608\(c\)\(3\)](#), [9-706](#); [Regs., Conn. State Agencies § 9-706-1](#); [Declaratory Ruling 2007-03](#)]

## Contribution Certification Documentation

### Certification Forms

The Commission recommends that any contributor who makes *any contribution, in any form, and in any amount* should certify that the contributor is not a communicator lobbyist, a member of the immediate family of a communicator lobbyist, or a principal of a state contractor or prospective state contractor (or a principal of an investment services firm or member of the Investment Advisory Council in the case of a candidate for State Treasurer).

The Commission has prepared sample contribution certification forms which campaigns should use in order to collect *all* of the information required by the Program. The Commission **strongly recommends** that treasurers use its sample forms for all contributors. Form A (for use by participating General Assembly candidates) and Form B (for use by participating candidates for Statewide Office), as well as a sample Online Interface for Credit Card Qualifying Contributions, are available on the Commission's website under [Forms](#).



The forms created by the Commission are designed to protect treasurers by providing for all of the information necessary to complete the required disclosure statements. While campaigns may create their own contribution certification forms, the Commission **strongly recommends** that campaigns use its sample forms because in the event a given contribution turns out to be impermissible based upon information encompassed by the Commission's sample form, the sample form provides the treasurer with a good faith reliance defense.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(f\)](#), [9-608\(c\)\(3\)](#), [9-612\(f\)](#), [9-613](#), [9-704\(b\) and \(c\)\(3\)](#), [9-706\(b\)\(3\)](#)]

## Contribution ID Number

The contribution ID number is a unique number identifying each contribution and connecting the provided back-up documentation with the contribution listed on the financial disclosure statement.

**For eCRIS filers**, the contribution ID number is generated electronically once the user enters a contribution.

**THE COMMISSION RECOMMENDS** inputting contributions right after receipt in a draft report in eCRIS, and assigning an individual who is associated with the campaign and who can view draft reports in eCRIS to write the eCRIS assigned contribution ID number on the corresponding piece of backup documentation. **IF YOUR CAMPAIGN UPLOADS DATA TO ECRIS, THE COMMISSION RECOMMENDS** performing the upload on the first day or two after the reporting period closes. Reporting right after the period closes will ensure that campaign staff who have assigned roles in eCRIS will have sufficient time to note each eCRIS assigned contribution ID number and write that number on the corresponding piece of back up documentation. If your campaign uploads data to eCRIS, keeping your backup documentation grouped by date received and then in alphabetical order by contributor's last name for that date will also help the campaign add eCRIS-assigned contribution ID numbers to the corresponding documents after an upload is completed and the report is "filed to State".

**For paper filers**, the number is assigned by the treasurer if the committee files campaign disclosure reports on paper. The contribution ID number should be four digits, starting with "0001" and proceeding sequentially. Treasurers should fill out the "contribution ID #" box in the upper right hand corner of the contribution certification form and write the same contribution ID number on the copies of all other internal backup documents connected with that contribution (i.e. photocopy of the check or money order). In addition, treasurers should record the contribution ID number on the candidate committee's Itemized Campaign Finance Disclosure Statements ([SEEC Form 30](#)) in Section B ("Itemized Contributions from Individuals").

The contribution ID number enables both the treasurer and Commission staff to link each claimed qualifying contribution with the substantiating documentation. This enables timely and accurate review of applications for public funds. Qualifying



contribution documentation lacking contribution ID numbers may delay review by Commission staff.

**Helpful Tip:** If your campaign is scanning paper qualifying contribution documentation and saving the images as PDFs to provide to the Commission, you can add the eCRIS-assigned contribution ID number as a header or footer on the PDF image, if you have not already written the contribution ID number on the paper copy prior to scanning.

## Documenting Cash and Money Order Contributions

**Qualifying contributions in the form of *cash or money order* must be accompanied by a contribution certification** irrespective of the aggregate amount received from the particular contributor.

Additionally, the treasurer must maintain a copy of each *money order* received. In order for a money order to count as a qualifying contribution, both the money order and the contribution certification form must be filled out and signed by the contributor.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(f\)](#), [9-704\(c\)\(3\)](#), [9-706\(b\)\(3\)](#); [Declaratory Ruling 2007-03](#)]

## Documenting Check Contributions

**Any contribution of more than fifty dollars (\$50) by check *must* be accompanied by the contributor's signed certification form** that indicates that the contributor is not a communicator lobbyist, member of the immediate family of a communicator lobbyist, state contractor or prospective state contractor and the name of the contributor's employer.

Qualifying contributions in the form of *personal check* should be documented by a copy of the check. If the qualifying contribution is being claimed as an in-state or in-district contribution, and the address pre-printed on the personal check does not match the individual's residential address, the Commission strongly recommends that the contributor be asked to complete a contribution certification form even if the aggregate contribution amount from the particular contributor is fifty dollars (\$50) or less. In order for a contribution to be deemed a qualifying contribution, grant applicants must be able to substantiate that each contribution originated from the contributor, with his or her knowledge and intent. The campaign treasurer should maintain copies of checks as internal records.

[[Declaratory Ruling 2007-03](#)]

## Documenting Debit Card and Credit Card Contributions

Individuals may make contributions to a candidate committee by credit card (including their personal debit card) either in person, by mail, by telephone or over the Internet. Because the campaign treasurer must retain documentation to verify each





contribution reported in the candidate committee's disclosure statements, **qualifying contributions via credit card or debit card must be documented by a receipt of the credit card or debit card transaction.**

If the qualifying contribution is claimed as an in-state or in-district contribution, and the credit card billing address does not match the contributor's residential address, the candidate committee should obtain a contribution certification form from the contributor to verify the contributor's proper address.

**Any contribution of more than fifty dollars (\$50) by credit card *must* be accompanied by the contributor's signed certification form.** If an individual's contributions are made in person, by mail or over the telephone, they must be delivered to the treasurer or to an individual appointed by the treasurer to serve as a solicitor.

A contribution made over the Internet, however, must be made directly to the candidate committee via credit or debit card. *Remember that expenses and fees charged by merchant account processors in connection with the processing of contributions by credit card are expenses of fundraising and do count towards the committee's expenditure limits.* If the individual contributor is required to pay the additional fee charged by the merchant account processor, then payment of that fee is also considered part of the contribution.

In order to accept a credit card contribution from an individual, a treasurer must obtain the following information from the individual contributor:

- (1) Contributor's full name;
- (2) Contributor's name as it appears on the credit card;
- (3) Residence home address, zip code and telephone number of contributor;
- (4) Billing address on record with card issuer (if different than residence address);
- (5) Individual's e-mail address (applicable to credit card contributions over the Internet);
- (6) Amount of contribution;
- (7) Certification that contributor is not a communicator lobbyist, or member of the immediate family of a communicator lobbyist, for contributions that separately, or in the aggregate, exceed fifty dollars (\$50) (best practice is to obtain it at all amounts);
- (8) Certification that contributor is not a principal of a state contractor or prospective state contractor for contributions that separately, or in the aggregate, exceed fifty dollars (\$50) (best practice is to obtain it at all amounts);
- (9) Principal occupation, if individual's aggregate contributions to the committee exceed fifty dollars (\$50);
- (10) Name of employer, if individual's aggregate contributions to the committee exceed fifty dollars (\$50);
- (11) Donor must affirm the statement: "I am 18 years of age or older" (applicable to contributions exceeding thirty dollars (\$30));
- (12) Last four digits of credit card number;
- (13) Credit card expiration date;





- (14) Donor must affirm the statement: "This contribution is made on my personal credit card for which I have a legal obligation to pay and intend to pay from my own personal funds; payment on this card is not made from the funds of a corporation, labor organization or any other entity"; and
- (15) Donor must affirm the statement: "I am either a United States citizen or a foreign national with permanent resident status in the United States."

**Important Note:** Committees collecting contributions online must provide contributors with a link to the definitions pertaining to the lobbyist, state contractor, and (if applicable) investment services bans.

Please see the [sample online interface](#) for credit card qualifying contributions on our website at [www.ct.gov/seec](http://www.ct.gov/seec).

The committee must select a merchant account provider (an entity in the business to authorize the processing of credit card transactions) that is able to comply with the requirements set forth in this section. The merchant account provider must therefore be able to supply the committee with all of the above information as completed by the contributor on the online contribution form. This includes proof that they affirmatively checked off the required statements. Specifically, committees must be able to provide documentation showing that the contributor checked off the required certifications or, at the very least, that the contributions could not be processed without these certifications being affirmatively checked off.

The committee is required to keep the details of each transaction provided by the merchant account provider or payment gateway and to ensure that the Commission is able, upon request, to review all such records (whether held by the committee, merchant account provider or payment gateway on behalf of the committee), including the affirmation provided in the contribution certification form that a personal credit card is being used. Failure to provide all these records will create a presumption that any such contributions are not qualifying contributions.

Each committee must promptly send confirmation of each credit card contribution received through the Internet to the contributor by electronic mail to the individual's email address. For contributions received by telephone or mail, the confirmation shall be sent to the contributor by U.S. mail. For credit card transactions made in person, each committee must obtain a signed credit card receipt from the contributor.

Contributions made by credit card shall be deemed received by the committee on the date that the contributor completes the transaction, unless a no charge decision is made within fourteen (14) days of the transaction or by the filing deadline for transactions falling within the reporting period, whichever is *earlier*. A no charge decision within such time relieves the committee treasurer of any responsibility for reporting the transaction. A committee receiving contributions by credit card must report the full (gross) amount of each contribution before the payment of any fees or deductions to any third party.



The committee's treasurer is responsible for preserving all records of each credit card contribution for the period of four (4) years from the date that the credit card transaction(s) are reported.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(f\)](#), [9-706](#); [Declaratory Ruling 2007-03](#)]

## Treasurer's Best Practices Checklist: Qualifying Contributions

### *For Every Qualifying Contribution:*

- ☐ Contributions must be monetary and donated by individuals in amounts no less than \$5 and no greater than \$100.
- ☐ Obtain a completed qualifying contribution certification form ("QC Cert Form") signed by the person making the contribution for every contribution. The certification forms are available on the Commission's website under [Forms](#). There are several certification forms so be sure you are using the appropriate form for your committee.
- ☐ Assign a **unique sequential identifying number** ("contribution ID number") to each contribution. For e-filers, contribution ID numbers are automatically assigned to each contribution reported through eCRIS. For paper filers, the treasurer must assign the contribution ID number to each contribution. **Mark the contribution ID number on each QC Cert Form or copy of check.**
- ☐ Photocopy and keep a copy of all contributions by personal check, money order, bank/cashier's check, debit or credit card.
- ☐ Mark the Contribution ID number on the accompanying photocopied documentation (such as a copy of a money order) for each qualifying contribution.
- ☐ Ensure that the Contribution ID number on the QC Cert Form and photocopied documentation matches the Contribution ID number entered into the itemized contributions section (Section B) of [SEEC Form 30](#).
- ☐ Send photocopies of contribution documentation to the Commission with (or shortly after) each campaign finance disclosure statement, for qualifying contributions raised in the period covered by the statement.

### *Documenting "In-District" Qualifying Contributions:*

- ☐ If the QC Cert Form lists a Post Office Box address, obtain a new QC Cert Form that lists the contributor's residential address.
- ☐ If a contributor has recently moved into a town in the district and the address pre-printed on the personal check does not match the individual's residential address, ensure that you have a QC Cert Form from the contributor that has the proper address.



- ☐ Report the residential address for each contributor in Section B of [SEEC Form 30](#).

***Documenting Contributions from Individuals:***

- ☐ Check and accompanying QC Cert Form should be signed by the same individual.
- ☐ Individuals with joint checking accounts who are making contributions must sign their own separate checks, or both sign the signature line of a joint check, each completing a separate accompanying QC Cert Form.
- ☐ Only *personal* checks may be accepted. Contributions must be from people, not sole proprietorships or other businesses, and not from the checking accounts of sole proprietorships, trusts or businesses.

**Certification that a Contributor Is not a Communicator Lobbyist or Principal of a State Contractor**

- ☐ Contributions from individuals who are communicator lobbyists, or members of the immediate family of a communicator lobbyist, or principals of current or prospective state contractors are not qualifying contributions and are prohibited.
- ☐ Indicate on [SEEC Form 30](#) for each itemized contribution **at every dollar amount** whether or not the contributor is a communicator lobbyist, member of such a lobbyist's immediate family, or a principal of a current or prospective state contractor.
- ☐ **If the treasurer does not check off the required lobbyist and principal of a state contractor boxes for any contributor in Section B of SEEC Form 30, that contribution will not count as a qualifying contribution.** The best practice is therefore to obtain a QC Cert Form with every contribution.
- ☐ If the contribution is *over fifty dollars (\$50) in the aggregate*, the treasurer **must** obtain a QC Cert Form from the contributor. Again, the best practice is to obtain a QC Cert Form with every contribution; otherwise, the treasurer will be held strictly liable in the event the committee receives and deposits a contribution from a communicator lobbyist, immediate family member, or principal of a current or prospective state contractor.
- ☐ If the treasurer has not received a QC Cert Form for a contribution over fifty dollars (\$50), send a request for the QC Cert Form to the contributor not later than three (3) business days after having received the contribution.
- ☐ Send the request for the QC Cert Form by certified mail, return receipt requested.
- ☐ Do not deposit the contribution until the QC Cert Form is in-hand.
- ☐ If the treasurer does not receive a QC Cert Form after the mailed request, return the contribution to the contributor by the *later* date below:
  - Fourteen (14) days after the written request; *or*
  - The end of the reporting period in which the contribution is received.



## EXPENDITURES

### Treasurer Must Monitor and Authorize Expenditures

The treasurer is responsible for monitoring compliance with the applicable expenditure limits. **Only the treasurer (or deputy treasurer in the treasurer's absence) may authorize and make expenditures on behalf of the committee.** All committee expenditures must be made by check, check card or debit card drawn on the committee's depository account. Committee checks must contain the committee's name.

[Conn. Gen. Stat. §§ [9-606](#), [9-607](#)]

### Candidates and Committee Workers Must Report All Expenditures Made to Treasurer

Candidates and committee workers have a duty to report all expenditures they make on behalf of the committee to the treasurer, including documentation evidencing the expenditure (i.e. receipt, invoice, etc.).

[Conn. Gen. Stat. §§ [9-702\(a\)](#), [9-703](#)]

### Expenditure Records

Connecticut campaign finance law requires treasurers to obtain and maintain internal contemporaneous records in order to substantiate all claimed permissible expenditures to be paid from committee funds. As part of the post-election audit process, committees may be asked to submit such documentation to substantiate all expenditures.

**Important Note:** Invoices and receipts should be generated at the time the transaction occurs or the service is provided.

Examples of expenditure records include, but are not limited to:

- Invoices;
- Receipts and invoices which contain a description of items purchased;
- Receipts for purchases made, including check card and debit card slips or receipts and personal credit card receipts, when reimbursable expenditures are made;
- Committee checks drawn on the designated depository account ("cashed" or cancelled checks);
- Bank statements (showing payees for purchases by check card, debit card or electronic funds transfer);
- Personal credit card statements for the purposes of reimbursement;



- Order verifications, purchase orders, documents describing expenditures incurred but not yet paid, leasing agreements;
- Travel itineraries or journal entries for the candidate and campaign workers for permissible campaign-related travel;
- Written receipts supporting any request for reimbursement of treasurer-authorized campaign expenses paid by a committee worker or the candidate; and
- For payments for work or services provided by campaign staff or professional personnel, a contract signed before any services are performed, and periodic bills setting forth the amount of hours billed by the service provider, and a description of the services provided.

**THE COMMISSION RECOMMENDS that treasurers double-check all expenditures reported in their financial disclosure statements against the accompanying documentation to ensure the accuracy of the amount reported.**

[Conn. Gen. Stat. §§ [9-607\(f\)](#), [9-607\(j\)](#) and [\(k\)](#); [Regs., Conn. State Agencies § 9-607-1](#)]

## What is “Contemporaneous Detailed Documentation”?

As explained in this chapter, the treasurer must keep “contemporaneous detailed documentation” regarding all committee expenditures.

*Contemporaneous detailed documentation* means documentation that was created at the time of the transaction demonstrating that the qualified candidate committee’s given expenditure was campaign-related and made to directly further the participating candidate’s nomination or election. Contemporaneous detailed documentation shall include but not be limited to the documentation described in Connecticut General Statutes § [9-607\(f\)](#).

[[Regs., Conn. State Agencies § 9-706-1\(b\)](#)]

*Example, Wright does it right:* Treasurer Wright agrees with participating candidate PC’s suggestion that the Committee purchase five 30-second announcements on WCAN Radio. Wright orders the broadcast spots, and receives a dated invoice on WCAN’s letterhead describing the amount of time purchased, the cost of that unit of time during the 5:00 p.m. weekday commuter hour, the total cost of the purchase, and the title of the recorded advertisement, “Vote for Candidate PC”. Three days later, the treasurer pays the radio station in full using a committee check and notes the check number, date of payment, payee, purpose of the payment, and invoice number in the Committee’s electronic checking account register.



## Documenting Payments to Personnel for Work or Services

To substantiate any payment for work performed or services rendered by campaign staff or professional personnel, the campaign treasurer **must** require and maintain:

- (1) *A written agreement* signed before the performance of any work or services for which payment is sought or expected in excess of one hundred dollars (\$100). This written agreement should set forth (a) the nature and duration of the *fee arrangement* and (b) a *description* of the scope of the work to be performed or services to be rendered; *and*
- (2) *Contemporaneous records* created at the time the work or service is performed, which set forth the time spent and a description of the work performed or services rendered.

Sample agreements are available on the Commission's website. ***Any payments inadequately substantiated by a written agreement and contemporaneous records could be found to constitute impermissible expenditures.*** Contingency payments, including but not limited to payments contingent on a candidate's success or upon whether or not any money remains in the candidate committee's depository account as the election cycle winds down, are *prohibited* under the Program.

Generally, individuals may volunteer to assist campaigns. However, communicator lobbyists, as well as their immediate family members, are prohibited from participating in any fundraising activities. Similarly, a principal of a present or prospective state contractor cannot participate in any fundraising events for a candidate seeking office in the branch with which he or she has the contract while the bid or proposal is pending or while the qualifying state contract is in force.

[Conn. Gen. Stat. § [9-610\(g\) and \(h\)](#); [Regs., Conn. State Agencies §§ 9-607-1, 9-706-1, 9-706-2](#); [Declaratory Ruling 2006-01](#)]

## Form of Payment for Committee Expenditures

### Checks

The recommended form of campaign expenditures is by committee check, check card or debit card through the candidate committee's sole depository institution. Expenditures made by check simplify internal recordkeeping, campaign finance disclosure reporting, and reduce unnecessary advances or petty cash expenditures.

[Conn. Gen. Stat. § [9-607\(e\)](#)]





## Petty Cash

Expenditures of fifty dollars (\$50) or less may be made in cash, but only from a single petty cash fund kept by the treasurer, and then only from proceeds originally deposited into the depository account. The treasurer may replenish the petty cash fund from time to time, provided that the total balance of the fund may never exceed one hundred dollars (\$100), and provided further that the fund is not replenished more than twice in any seven (7) day period. All cash expenditures must be carefully documented and receipts for each purchase must be obtained.

[\[Regs., Conn. State Agencies § 9-706-2\]](#)

## Reimbursements to Committee Workers and Candidates

A committee worker or candidate may be reimbursed by the committee if the following conditions are satisfied:

- (1) The treasurer authorized the expenditure;
- (2) The worker or candidate has made the expenditure on behalf of the committee from his or her own personal funds;
- (3) The worker or candidate provides the treasurer with a written receipt from the vendor proving payment by the worker or candidate;
- (4) The expenditure is for the lawful purpose of the committee; and
- (5) The expenditure is not a contribution to any other committee.

An expenditure from a committee worker's own funds that is not reimbursed within a reasonable time constitutes an in-kind contribution. The Commission has stated that forty-five (45) days is generally a reasonable amount of time. Moreover, once a candidate committee receives funds from the Citizens' Election Program, no other contributions may be accepted. Consequently, an un-reimbursed or untimely-reimbursed advancement of funds by a committee worker violates Program requirements.

Similarly, a committee expenditure made by the candidate from his own funds that is not reimbursed within a reasonable time constitutes the provision of personal funds, and counts toward the candidate's personal funds limit. Moreover, once a candidate committee receives funds from the Citizens' Election Program, the candidate cannot provide any personal funds. Consequently, an un-reimbursed or untimely-reimbursed advancement of funds by the candidate may violate Program requirements.

Treasurers must carefully document all reimbursements, and must maintain receipts received from the individuals advancing the money. In the case of a reimbursement to the candidate, the candidate **must** provide the treasurer with a detailed accounting of the expenditure so that the treasurer may include the expenditure in the financial disclosure statement ([SEEC Form 30](#)). The Commission recommends that treasurers use a reimbursement voucher to keep track of all advances.



**Important Note:** A reimbursement made to a candidate or committee worker must be reported in two sections of the [SEEC Form 30](#): (1) as an expense paid by committee, in Section N, with the candidate/committee worker listed as the payee, together with the expenditure code, "RCW"; **and** (2) in Section O (if paid by the candidate) or in Section R (if paid by a committee worker) as an itemization of a reimbursement to a committee worker, listing the vendor paid by the committee worker as the "secondary payee". Please see the [SEEC Form 30](#) instructions for more information.

[Conn. Gen. Stat. § [9-607\(j\)](#); [Regs., Conn. State Agencies § 9-706-2](#)]

## DISCLOSURE REQUIREMENTS

### Disclosure of Records

Accurate and timely disclosure is critical. First, it enables the Commission staff to determine whether each grant applicant qualifies to receive a grant (including an initial grant and any applicable supplemental grants). Second, disclosure enables the Commission staff to oversee compliance with the Program requirements. Third, disclosure serves the Program's goals of transparency and accountability in the election process, as disclosure enables the public, other candidates, and the media to observe who contributed to various campaigns and how candidates spend their money.

### Reporting Calendar and Filing Deadlines

*All participating candidates* are required to file periodic campaign finance disclosure statements using [SEEC Form 30](#). Treasurers of participating candidates' committees should follow the instructions for [SEEC Form 30](#).

The treasurer must file a financial disclosure statement with the Commission by the following deadline dates: the 10th day of January, April, July and October, on the 7th day prior to the election and, if the candidate is in a primary, on the 7th day prior to the primary. A more specific filing calendar is available from the Commission and is posted on its website.

If a deadline falls on a Saturday, Sunday or legal holiday, the statement shall be due on the next business day. This filing must be submitted at some time during the filing period, which begins at the conclusion of the reporting period and ends on the filing deadline date. Statements are timely if they are either postmarked by the United States Postal Service or by a delivery service designated by the Secretary of the Treasury of the United States before midnight on or before the required filing deadline date, delivered by hand to the Commission's office by the close of business hours (4:30 p.m.) on or before the filing deadline date, or filed electronically via eCRIS before midnight on or before the filing deadline date.

[Conn. Gen. Stat. § [9-608](#)]



## Organization Expenditure Disclosure Requirements

An *organization expenditure* is a specific type of payment to benefit candidates made either by a party committee, legislative caucus committee, or legislative leadership committee. An organization expenditure is not a contribution or expenditure under Connecticut law, but nevertheless some reporting requirements apply.

When a legislative caucus committee, legislative leadership committee or party committee makes an organization expenditure to benefit a candidate, the treasurer of the committee making the organization expenditure must report it on itemized campaign finance disclosure statements ([SEEC Form 20](#)) and expeditiously and contemporaneously notify the candidate committee that the organization expenditure has occurred, indicating its value and purpose.

***The committee of the participating candidate that has received the benefit of an organization expenditure must include in its campaign finance disclosure statement the name of the committee making the organization expenditure, and the amount and a description of the expenditure. The committee must also retain the valuation notice received from the committee that made the organization expenditure on its behalf.***

Specifically, organization expenditures that benefit a candidate's campaign must be valued and reported by the candidate's campaign on [SEEC Form 30](#), Section M, "Non-Monetary Receipts of Organization Expenditures Made by Legislative Leadership, Legislative Caucus and Party Committee." Enter each organization expenditure received, the full name of the committee making the expenditures, its address, the name of its treasurer, and the date that the notice was received by the candidate's treasurer from the legislative caucus committee, legislative leadership committee or party committee making the organization expenditure. Enter the fair market value of the organization expenditure together with the aggregate value of all organization expenditures received from the same legislative leadership committee, legislative caucus, or party committee. Provide a brief description of the organization expenditure received. Check off the appropriate box (A-E) indicating the purpose of the organization expenditure. These letters (A-E) correspond to [Conn. Gen. Stat. §9-601\(25\)\(A\)-\(E\)](#), which lists the types of permissible organization expenditures.

[Conn. Gen. Stat. §§ [9-601\(25\)](#), [9-601a\(b\)\(16\)](#), [9-601b\(b\)\(8\)](#), [9-608\(c\)](#)]

## Expenses Incurred but Not Paid

Each expense incurred by the treasurer, candidate, or authorized agent of the committee but not yet paid must be separately itemized in the same manner as expenditures paid, including the disclosure of any secondary payees. Expenses incurred but not paid are reported in Section Q, "Expenses Incurred by Committee but Not Paid During this Period." The obligation to report expenses incurred arises when the committee enters into a written contract, promise or agreement to make an expenditure or when goods or services are delivered.

[Conn. Gen. Stat. § [9-601b\(c\)](#)]



**Example 1:** Committee A's treasurer orders lawn signs on September 30, 2010. Because September 30 is also the end date for the period covered in the committee's next quarterly disclosure statement, the treasurer reports in Section Q the amount of the lawn sign order as an expenditure incurred but not yet paid.

**Example 2:** Committee B's treasurer signs a contract for advertising on August 1, 2010. The treasurer receives an invoice on August 28 and pays the advertising firm in full on September 30, reporting the payment in Section N of the next quarterly disclosure statement, which covers the period from July 1 through September 30.

If a committee incurs an expense but will not know the actual cost until it receives an invoice at a later date, it should still report the expenditure incurred in Section Q in the period in which it was incurred and provide a good faith **estimate** of the amount.

## Supplemental Disclosure Requirements

Because participation in the Program is voluntary, and nonparticipating candidates are not bound by expenditure limits, a participating candidate may receive supplemental grants from the Program if opposed by a high-spending nonparticipating opponent. All candidate committees in any race involving a participating candidate, *including the candidate committees of nonparticipating candidates*, are required to file supplemental campaign finance disclosure reports as described in detail in Chapter VIII, Supplemental Grants.



## TREASURER'S BEST PRACTICES: RECORDS TO OBTAIN, COPY, AND KEEP

*This chart is intended only as a guide. Treasurers are advised to refer to the specific statutory provisions, regulations, declaratory rulings, and advisory opinions mentioned in this chapter.*

<b>BANK RECORDS</b>	<ul style="list-style-type: none"> <li>• Bank statements</li> <li>• Canceled committee checks</li> <li>• Deposit slips or tickets</li> <li>• EFT transaction slips</li> <li>• Copies of electronic banks statements</li> <li>• Interest paid or fees charged</li> </ul>
<b>FUNDS RECEIVED BY COMMITTEE</b>	<ul style="list-style-type: none"> <li>• Contribution checks, money orders (photocopies or electronic images)</li> <li>• Signed qualifying contribution certification forms</li> <li>• Copy of treasurer's Letter, return receipt requested, for contributor certifications not provided</li> <li>• Transaction receipts for contributions made by credit or debit card</li> <li>• Proof of credit card transaction rate</li> <li>• Details of each credit card contribution transaction from merchant account provider or payment gateway</li> <li>• Loan agreements and guarantor agreements (permitted from financial institutions only)</li> <li>• Receipt for sale of surplus equipment and record of how fair market value was determined</li> </ul>
<b>EXPENDITURES</b>	<ul style="list-style-type: none"> <li>• Compensation agreements created before hiring staff</li> <li>• Records showing time worked for consultants or committee staff</li> <li>• Itemized secondary payments consultant has made to vendors on behalf of committee</li> <li>• Cash register receipts for purchases</li> <li>• Debit card slips and statements for every committee purchase/expenditure</li> <li>• Invoices and bills</li> <li>• Written receipts in support of requests for reimbursement (dated, showing items, amount)</li> <li>• Documents describing expenditures incurred but not yet paid</li> <li>• Rental or lease agreements for real or personal property</li> <li>• Written account of all petty cash disbursements</li> </ul>
<b>FUNDRAISING &amp; MISC.</b>	<ul style="list-style-type: none"> <li>• Names and addresses of all individuals appointed as solicitors</li> <li>• Lists from solicitors with contributor info for all contributions collected or promised</li> <li>• Detailed info on each fundraising event including date, time and location</li> <li>• List of each contribution received at or in connection with each event</li> <li>• Fundraising event tickets, invitations, programs, advertising</li> <li>• Document provided by house party host(s) with amount and description of their donation</li> <li>• Candidate's attendance fee for community event (up to \$100), copy of invitation to same</li> <li>• Written agreement with other committee for allocating joint expenditures</li> <li>• Copy of documentation provided by party, legislative leadership committee or legislative caucus committee describing organization expenditures</li> <li>• Travel itineraries (campaign travel)</li> </ul>



## X. Termination of the Committee: Distribution of Surplus and Elimination of Deficits

### Termination of Exploratory Committees

#### Triggering Events Requiring Dissolution

There are several triggering events that necessitate the dissolution of an exploratory committee:

- Candidate makes a public declaration of his/her intent to seek nomination or election to a particular public office; OR
- Candidate receives endorsement for a particular public office at a convention, caucus or town committee meeting; OR
- Candidate files candidacy for nomination under Section [9-400](#) or [9-405](#) of the General Statutes (forcing a party primary); OR
- Candidate decides, before any triggering event mentioned above, to terminate the exploratory committee and form a candidate committee for a particular public office in the same election cycle.

**Important Note:** For more information on what constitutes a public declaration, please see [Declaratory Ruling 2009-01: "Public Declarations by Candidates in an Exploratory Committee,"](#) available at the Commission's website, [www.ct.gov/seec](http://www.ct.gov/seec).

The candidate must file an Exploratory Committee Notice of Intent to Dissolve (SEEC Form 5) with the Commission within 15 days of any of the triggering events listed above. After the triggering event, the candidates must form a candidate committee within 10 days of making an expenditure or receiving a contribution, or within 15 days from filing the SEEC Form 5, whichever is earlier. The exploratory committee must also distribute its surplus to the candidate committee or the Citizens' Election Fund ("CEF"), as the case may be, and file a termination [SEEC Form 30](#) within 15 days of filing the SEEC Form 5.

**This filing terminates the exploratory committee and should disclose the exploratory committee's distribution of surplus to the candidate committee or the CEF.**

In order to facilitate a smooth transition from exploratory committee to candidate committee, the Commission recommends that the candidate open up a depository account and form a candidate committee **as soon as possible** after the triggering event. This allows the campaign to continue without interruption, provides a place to deposit the surplus and any other newly arrived contributions, and helps to avoid running afoul of the statutory deadlines. After the candidate committee account is opened, the exploratory committee treasurer should distribute the exploratory committee's surplus to the candidate committee as soon as possible and file the committee's termination Itemized Campaign Finance Disclosure Statement ([SEEC Form](#)





[30](#)) at the same time as the Exploratory Committee Notice of Intent to Dissolve (SEEC Form 5) is filed, i.e. within 15 days of the triggering event.

**Important Note:** The 14-day rule for treasurers to deposit contributions still applies. Contributions made *after* the triggering event should *not* be deposited in the exploratory committee's depository account, but instead should be deposited in the newly formed candidate committee depository account. If a contribution is made and received after the triggering event, then the treasurer must open a depository account within fourteen days and deposit the check, regardless of the time periods for filing a termination [SEEC Form 30](#).

## Checklist for Dissolving the Exploratory Committee

### For the Candidate:

- ☐ Notify the campaign treasurer when you are ready to dissolve the exploratory committee.
- ☐ Complete and sign SEEC Form 5, *Exploratory Committee Notice of Intent to Dissolve*.
- ☐ File [SEEC Form 5](#) with the State Elections Enforcement Commission, Campaign Disclosure and Audit Unit, Third Floor, 20 Trinity Street, Hartford, CT 06106, no later than 15 days of an event triggering dissolution.

### For the Campaign Treasurer:

- ☐ Complete, sign, and file [SEEC Form 30](#), *Itemized Campaign Finance Disclosure Statement for Candidates for Statewide Offices and General Assembly*, **when the distribution of surplus is complete, and in no case later than 30 days after the triggering event that necessitated the dissolution of the exploratory committee.**
- ☐ Mark the TERMINATION box in Section 9 of the cover summary page of the [SEEC Form 30](#), if filing by paper, OR
- ☐ Select Non-Standard Report and then Termination for Type of Report on the [eCRIS](#) Reporting Home page, if filing electronically via [eCRIS](#).

### Period Covered

- ☐ Report all activity of the exploratory committee beginning with the last day not covered by the previous exploratory committee [SEEC Form 30](#) through the day before it is filed with the Commission; OR
- ☐ If the committee raised and/or spent less than \$1,000 in prior filing periods and previously filed *Short Form Campaign Disclosure Statement(s)*, ([SEEC Form 21](#)), report all activity from the date of exploratory committee's first contribution received or expenditure made through the day before the report is filed with the Commission.



- ☐ The period should close on midnight of the day before you are submitting the statement. If filing via [eCRIS](#), the closing date of the period cannot be the same day that you submit the report electronically. If hand-delivering the [SEEC Form 30](#), the closing date of the period cannot be the same as the day you hand-deliver the disclosure statement.

### Exploratory Committee Depository

- ☐ Keep the exploratory committee depository open until all committee checks written, including the surplus distribution check(s), have been presented and honored by the bank.
- ☐ Do not make any expenditures for the candidate committee from the exploratory committee depository, except to distribute surplus.
- ☐ Do not deposit any contributions made after the triggering event into the exploratory committee depository. Either deposit any new checks into the newly formed candidate committee depository account or return them, if appropriate, to the contributor.

### Recordkeeping

- ☐ Obtain and keep copies of documentation for all exploratory committee transactions.
- ☐ The treasurer (or candidate, if so desired) must keep the committee [records](#)\* for FOUR YEARS from the date of the termination filing.

\*See [Treasurer's Best Practices Checklist Records Treasurers Must Obtain, Copy and Keep](#), available at the Commission's [website www.ct.gov/seec](http://www.ct.gov/seec).

## Checklist for Forming the Candidate Committee

### For the Candidate:

- ☐ Promptly designate a campaign treasurer and committee depository for the candidate committee.
- ☐ Designating a deputy treasurer is also **highly** recommended.
- ☐ Obtain the signature of the designated treasurer and deputy treasurer on [SEEC Form 1/1A](#), *Registration by Candidate*.
- ☐ Register the candidate committee by filing [SEEC Form 1/1A](#) with the Commission within 10 days of soliciting or receiving contributions or making an expenditure, and in any event, no later than 30 days after the triggering event that necessitated the dissolution of the exploratory committee.

### For the Candidate Committee Campaign Treasurer:

- ☐ Open the candidate committee depository account **as soon as possible**. The account may be with the same institution where the exploratory committee



maintained an account, but the candidate committee must open a *new* account.

- ☐ Obtain surplus distribution check(s) and qualifying contribution documentation (if applicable) from the exploratory campaign treasurer.
- ☐ Within 14 days of your receipt, deposit surplus distribution check(s) into the candidate committee depository. The same rule applies to any other post-trigger contributions.
- ☐ Report the receipt of surplus funds from the exploratory committee in Section C2, "Reimbursements or Payments from other Committees," in the candidate committee's first itemized campaign finance disclosure, [SEEC Form 30](#).

## **Distribution of Surplus Monies from Exploratory Committee to Candidate Committee that Intends to Participate**

During the exploratory committee stage, a candidate may begin collecting and properly documenting small donations that may be claimed qualifying contributions at the time of grant application. If the candidate's exploratory committee has a surplus when it is dissolved, and the candidate intends to participate in the Program, the campaign treasurer of the exploratory committee must (1) distribute to the candidate committee the surplus funds that meet the criteria for qualifying contributions, and (2) distribute any remainder of the surplus, including any non-qualifying contributions, to the Citizens' Election Fund. *A candidate whose exploratory committee does not follow these rules for distributing surplus may not be eligible to receive a grant from the Citizens' Election Fund.*

If an exploratory committee has a surplus that is *equal to or less than* the total amount of qualifying contributions raised in the exploratory committee, the campaign treasurer of the exploratory committee may distribute the entire surplus to the candidate committee.

**Example 1, Exploratory committee with surplus equal to or less than the total amount of qualifying contributions raised:** A candidate who ultimately decides to run for the office of State Senator and intends to participate in the Program raises \$5,000 in qualifying contributions and \$2,500 in non-qualifying contributions in the exploratory committee, and dissolves an exploratory committee with a surplus of \$1,000. Because at least \$1,000 in small dollar donations was raised in the exploratory committee, the treasurer of the exploratory committee may distribute the \$1,000 surplus to the candidate committee.

If an exploratory committee has a surplus that is *greater than* the total amount of qualifying contributions raised in the exploratory committee, the campaign treasurer of the exploratory committee must distribute to the candidate committee the amount of the surplus that is equal to the qualifying contributions raised in the exploratory committee and must distribute any remainder of the surplus to the Citizens' Election Fund.



**Example 2, Exploratory committee with a surplus greater than the total amount of qualifying contributions raised:** A candidate who ultimately decides to run for the office of State Representative and intends to participate in the Program raises \$5,000 in qualifying contributions and \$2,500 in non-qualifying contributions, and dissolves an exploratory committee with a surplus of \$6,000. Because \$5,000 in qualifying contributions was raised in the exploratory committee, the treasurer of the exploratory committee may distribute \$5,000 of the surplus to the candidate committee. The treasurer must distribute the remaining \$1,000 to the Citizens' Election Fund because that amount was not raised from potential qualifying contributions and therefore should not be rolled into the committee of a candidate who intends to participate.

However, if the surplus is comprised of an amount of small dollar donations that may be claimed as qualifying contributions at the time of grant application which exceeds the required amount of qualifying contributions for the office sought, an amount equal to the required qualifying contribution amount may be distributed to the candidate committee and the excess or buffer qualifying contributions must be transmitted to the Citizens' Election Fund. The amount of excess qualifying contributions transmitted to the Citizens' Election Fund may count towards the candidate's "buffer" amount, so long as the excess qualifying contributions are properly documented.

**Example 3, Exploratory committee with surplus of qualifying contributions that is greater than the threshold for the office sought:** An exploring candidate who ultimately decides to run for the office of State Senator and intends to participate in the Program raises \$16,000 in potential qualifying contributions and \$2,500 in non-qualifying contributions in the exploratory committee, and dissolves an exploratory committee with a surplus of \$17,000. Because at least \$15,000 in potential qualifying contributions was raised in the exploratory committee, the treasurer of the exploratory committee may distribute the \$15,000 surplus to the candidate committee, and must distribute the remaining \$2,000 to the Citizens' Election Fund. The \$1,000 amount of excess potential qualifying contributions is transmitted to the Citizens' Election Fund but its documentation may count towards the candidate's "buffer," so long as the excess qualifying contributions are properly documented.

[Conn. Gen. Stat. §§ [9-608\(f\)](#); [9-704\(a\)\(1\) – \(4\)](#); [Declaratory Ruling 2007-02](#)]

## Carrying Forward Goods and Services from Exploratory Committee to Candidate Committee

If the exploring candidate intends to carry forward to the same candidate's candidate committee goods or services purchased or pre-paid by the exploratory committee or any of the other items listed below, **a detailed letter must accompany the exploratory committee's termination** [SEEC Form 30](#). In that letter, the campaign treasurer must identify:

- Any durational agreement, such as a lease for headquarters, or ongoing consultant contract;



- Purchase or lease for equipment, furniture, or leased vehicle with a cost of \$250 or more;
- Purchases made for advertising to be used by the candidate committee (advance payments for ads, mailers, palm cards, website, etc.);
- Advertising expenditures made by the exploratory committee solely to aid or promote the candidate's primary or general election (as opposed to expenses incurred for permissible activities of an exploratory committee such as communicating with potential nominating authorities, soliciting funds, polling or otherwise testing the waters); and
- Prepaid postage or supplies, or a website or web domain name, or other items for which the exploratory committee had paid.

The letter accompanying the exploratory committee's termination [SEEC Form 30](#) should **also** list any additional expenditures of the exploratory not previously reported, such as anticipated costs of wrapping up the exploratory committee, and whether such expenses should be attributed to the exploratory or candidate committees, or in part to both.

**Important Note:** An exploratory committee exists to "test the waters," as opposed to a candidate committee from which a participating candidate may properly make expenditures to promote his or her election to the general public through advertising. Therefore, if a candidate makes such advertising expenditures in the exploratory committee, they must be fully reported in the rollover letter.

Alternatively, the exploratory committee may choose to **sell for fair market value** to permissible recipients the equipment, furniture or supplies it purchased. Reporting these sales is accomplished as follows:

- Report the sales of the items in Section S, "Surplus Distribution of Equipment and Furniture."
- Report the proceeds from such sales in Section I, "Miscellaneous Monetary Receipts Not Considered Contributions."
- Include the proceeds in a distribution check written to the candidate committee or the Citizens' Election Fund, as appropriate. For candidates who have documented Qualifying Contributions that exceed the cash on hand in the exploratory committee at the time of dissolution, the assets of the exploratory committee can be sold and proceeds rolled over to the candidate committee up to the amount of the difference between the cash-on-hand and the documented Qualifying Contributions. Report the distribution check in Section N, "Expenses Paid by Committee." The Expenditure Code is SRPLS.
- If the exploratory committee chooses not to sell the equipment, furniture or supplies it purchased, but instead chooses to transfer ownership of such items to the candidate committee, this should be documented in the letter accompanying the termination [SEEC Form 30](#).





## Exploratory Committee Surplus Distribution Checklist

Exploratory Committee Treasurer:

- ☐ Write a committee check to distribute the portion of the surplus that fit the description of Qualifying Contributions to the candidate committee.
- ☐ Write a committee check to distribute the portion of the surplus representing excess qualifying contributions or non-qualifying contributions (contributions from party committees and political committees, individual contributions exceeding \$100, liquidated in-kind contributions, and so on) to the Citizens' Election Fund.
- ☐ Report the distribution(s) in the exploratory committee's termination [SEEC Form 30](#).

### Reporting Distribution of Surplus

- ☐ Report in Section N, "Expenses Paid by Committee," the committee check(s) distributing surplus to the candidate committee.
- ☐ Make photocopies or electronic images of all Qualifying Contribution documentation (make an extra set of copies for your records!), for submission to the Commission together with the exploratory committee's termination [SEEC Form 30](#).

### Attachments to Exploratory Committee's Termination SEEC Form 30

- ☐ Detailed letter about any goods and services carried forward from the exploratory committee to the candidate committee (if applicable);
- ☐ Qualifying Contribution documentation: photocopies or CD or flash drive containing electronic copies of all qualifying contribution documentation not already submitted to the Commission; and
- ☐ Check made out to Citizens' Election Fund for proceeds from sales of exploratory committee equipment and furniture (if that sum exceeds the amount for which there are documented Qualifying Contributions) or for excess Qualifying Contributions or non-qualifying contributions (if applicable).

## Exploratory Committee Deficit

In the event of an exploratory committee deficit, the deficit carries over and becomes an assumed deficit of the candidate committee, as an "expense incurred but not paid" of the candidate committee. Because the Program has expenditure limits, the transfer of a substantial deficit to the candidate committee may impact a candidate's ability to comply with the limits.

The exploratory committee must file a termination [SEEC Form 30](#), with all applicable attachments, as described above. The candidate committee treasurer must report all liabilities carried over from the exploratory committee in Section Q, "Expenses Incurred





by Committee but Not Paid During this Period," of the candidate committee's first itemized campaign finance disclosure statement ([SEEC Form 30](#)).

[[Declaratory Ruling 2007-02](#)]

## Exploratory Candidates Deciding Not to Transition into Candidate Committee

If a candidate in exploratory committee decides not to seek nomination or election to any office and the exploratory committee has a surplus, the surplus must be distributed to one or more of the following:

- (a) An ongoing political committee (so long as such political committee has not been established to finance future political campaigns of the candidate);

**Important Note:** The Commission has concluded that a political committee is deemed to have been established to finance future political campaigns of a candidate where twenty-six percent (26%) or more of the committee's expenditures go to the candidate's future campaigns.

- (b) a party committee (no strings attached or earmarking for later use);
- (c) a tax exempt, tax deductible organization under Section 501c(3) of the Internal Revenue Code;
- (d) All donors on a pro-rata basis based upon the relationship of the aggregate donation from a particular donor to the total of all donations received by the committee from all donors; or
- (e) The Citizens' Election Fund established under Section [9-701](#), General Statutes, for financing campaigns for State or General Assembly offices.

If the exploratory committee was established by the State Treasurer, then any portion of the surplus that was received from a principal of an investment services firm or a political committee established by such firm must be returned to such principal or committee on a prorated basis of contribution.

If the candidate decides not to seek nomination or election to any office and the exploratory committee has a deficit, the treasurer must file a deficit statement ([SEEC Form 30](#)) with the Commission thirty (30) days after the decision or declaration. This deficit statement shall include all contributions received and expenditures made from the date of the last filed statement completed as of seven (7) days before the filing of the deficit statement and shall include the amount of the deficit.

The exploratory committee must remain in existence until the deficit is eliminated. The treasurer is required to file an additional statement on the 7<sup>th</sup> day of any succeeding



month when there is an increase or decrease in the deficit that is greater than five hundred dollars (\$500) from the last disclosure statement.

[Conn. Gen. Stat. § [9-608\(f\)](#)]

## Termination of Candidate Committees

### Timing of Termination

A candidate committee must **distribute its surplus** within ninety (90) days of an unsuccessful primary or by January 31, 2011 in the case of the November election and must **file its termination statement within seven (7) days** of its surplus distribution (which can be no later November 15, 2010 for an unsuccessful primary candidate or February 9, 2011 for a candidate in the regular election).

A committee can terminate any time between the end of the primary/election and these deadlines and is strongly encouraged to terminate as soon as possible. However, a candidate committee cannot terminate until it has:

- (1) paid all expenses previously incurred but not yet paid;
- (2) sold equipment and furniture purchased by the committee at a value greater than fifty dollars (\$50) and reported the sale price as a miscellaneous monetary receipt;
- (3) distributed surplus funds (if any) to the Citizens' Election Fund; and
- (4) eliminated deficit (if any) according to the law.

**Important Note:** Prior to terminating, campaigns should make copies of all internal documentation in preparation for being audited.

The campaign treasurer must file a termination report using [SEEC Form 30](#), indicating all of the committee's winding-up expenditures. A participating candidate's committee must distribute all surplus money to the Citizens' Election Fund, the distribution of which should be reported in their final [SEEC Form 30](#) termination statement. All surplus furniture and equipment must be sold at fair market value (see "Sale of Committee Furniture and Equipment," below), and the proceeds must be distributed to the Citizens' Election Fund.

Failure to repay surplus funds to the Citizens' Election Fund within ninety (90) days after the applicable primary or election may constitute larceny.

**Important Note:** Expenditures made after the election are generally restricted to payment for outstanding liabilities and nominal expenses associated with "winding up" a campaign. Participating candidates are not permitted to make bonus payments to campaign staff or volunteers. It is therefore very important for a committee to contemporaneously document any service agreements made before the election that will result in payments afterward. For more information on proper post-election



expenditures, please see “Post-Election Spending” in Chapter VI Campaign Expenditures.

[Conn. Gen. Stat. § [53a-119\(18\)](#); [Regs., Conn. State Agencies § 9-706-2](#)]

## Sale of Committee Furniture and Equipment

After the election, the law requires candidate committees to sell their surplus equipment (e.g. furniture, computers, cameras, fax machines, printers, cell phones) prior to termination. These items must be sold at fair market value and the campaigns should use their best efforts to reasonably estimate this value. Committees can look to the marketplace (by contacting vendors and/or looking to the Internet) to determine the current average cost of the item. If a committee is selling equipment in a transaction that is not at arms-length, it must ensure that it is for the fair market value. Indications of fair market value may include the Internal Revenue Service’s guide on “How to Depreciate Property” (<http://www.irs.gov/app/vita/globalmedia/p946.pdf>), or comparable listings on websites where used goods are resold. The law permits sale of these items to **any person**, which includes sale to individuals (including the candidate), committees, corporations, partnerships, organizations, or associations.

**Important Note:** As a general rule a committee does not need to sell items that have a fair market value of less than fifty dollars (\$50).

The candidate committee should keep an internal record of how fair market value was determined as well as a receipt for the sale. The proceeds from the sale of these items are reported in Section I (Miscellaneous Monetary Receipts not Considered Contributions) of [SEEC Form 30](#). In the “Description” field, the treasurer should provide a brief description of each item sold as well as the original purchase date.

**Important Note:** Prior campaign assets such as campaign paraphernalia, including lawn signs and stationery, are not considered equipment and may be stored for use in future elections.

## Distribution of Surplus Funds

### Participating Candidates Who Received Grants

Prior to termination, candidates participating in the Citizen Election Program who have received grant monies must pay all outstanding debts, sell furniture and equipment and **distribute all surplus funds** remaining in their bank accounts including interest earned to the Citizens’ Election Fund.

The candidate committee treasurer should draft a check payable to the “**CEF**” and indicate on the memo line that the check represents “Distribution of surplus.” The check



and a simple cover letter (including the committee's name, candidate's name, and treasurer's name) should be sent to the SEEC to: Campaign Disclosure & Audit Unit, 3rd Floor, 20 Trinity St., Hartford, CT 06106-1628.

As noted above, once a committee has distributed its surplus, it has **seven (7) days** to terminate by filing a termination statement using [SEEC Form 30](#). This statement must report the distribution of surplus in Section N (Expenses Paid by Committee) using the code SRPLS.

The deadline for a candidate committee to distribute its surplus is **January 31, 2011** and the deadline to file the termination statement is **February 7, 2011**.

### Participating Candidates Who Did Not Receive Grants

Prior to termination, participating candidates who did not receive grant monies must pay all outstanding debts, distribute furniture and equipment (as described above) and **distribute all surplus funds** remaining in their bank accounts to either:

- (1) the CEF (as outlined above); or
- (2) a charitable organization under section 501(c)(3) of the Internal Revenue Code.

**Important Note:** A committee is responsible for determining whether an organization is a 501(c)(3) organization prior to distributing any surplus funds to said organization. The IRS maintains a database of 501(c)(3) organizations at <http://www.irs.gov/app/pub-78/>.

Once a committee has distributed its surplus it has **seven (7) days** to terminate by filing a termination statement using [SEEC Form 30](#). This statement must report the distribution of surplus in Section N (Expenses Paid by Committee) using the code SRPLS.

The deadline for a candidate committee to distribute its surplus is **January 31, 2011** and the deadline to file the termination statement is **February 7, 2011**.

### Treatment of Liabilities (Deficit)

Participating candidates are bound by the Program's expenditure limits. Generally, participating candidates who run up a deficit during the campaign cycle face various penalties, and, among other penalties, the candidate and campaign treasurer may be personally liable to repay the amounts due.

Participating candidates who have received grant monies should not have a deficit after the election. There is an exception to this principle for **certain minor party and petitioning candidates who received a 1/3 or 2/3 grant**. These candidates are allowed to raise "differential contributions" (i.e. additional qualifying contributions), to make up the difference between the initial grant amount received and the amount of a full (100%) grant. In addition, these candidates may incur expenditures before having raised such funds, and thus may face a deficit after the election. These candidates have several options: (1) they can raise additional differential contributions in order to



pay off the deficit; (2) in some instances, they may qualify for a post-election grant; or (3) they may use the proceeds from the sale of surplus equipment to pay off a deficit.

A minor party or petitioning candidate who qualifies for a partial initial grant (i.e. a 1/3 or 2/3 grant) may receive a supplemental post-election grant if the minor party or petitioning candidate receives a greater percentage of votes cast for all candidates for that office than the percentage of votes or signatures such candidate used to qualify for the grant. To receive a post-election grant, such candidate's campaign must be in compliance with all Program rules, report a deficit in the campaign finance disclosure statement filed after the date of the general election, and have documented outstanding expenses incurred but not paid which were made to further the candidate's election.

[Conn. Gen. Stat. §§ [9-608\(e\)\(1\)\(A\)](#) and [\(e\)\(1\)\(E\)](#)]

## Uncashed Checks

If committee workers, consultants, or vendors the committee paid by check have not cashed those checks by the time the committee must terminate, the treasurer should keep the depository account open and notify the Commission. The treasurer should pursue the payee to cash the committee check. If the payee has lost the original payment check, the treasurer must contact the Commission. A vendor or worker who does not cash a committee check made in payment for goods or services rendered is making an unauthorized contribution to the committee.

## Obtaining Bank Records

Prior to closing the depository account, the treasurer must ensure that the committee has copies of all banking records, **including images of cashed checks**. This is especially important when a committee does electronic banking with an institution that keeps transaction details available for only a short period of time such as ninety (90) days.



## XI. COMPLIANCE AND ENFORCEMENT

To ensure that the public's investment is protected, the Commission offers compliance advice and training. Program participants are encouraged to keep in frequent contact with the Candidate Services Unit and to seek advice about any concerns.

The Commission also instituted a comprehensive audit program in 2008. The Commission committed to review the records of all 2008 campaigns to ensure that only qualified candidates received public grants, and participating campaigns used grant funds only for permissible purposes.

From the Commission's comprehensive review, it was apparent that virtually all campaigns had errors in their reports and record-keeping. But by and large, candidates and treasurers demonstrated substantial compliance with Program requirements.

### Potential Pitfalls Regarding Post-Election Activity

The following are some potential post-election problems:

- Not filing the required disclosure statements following the election;
- Failing to keep the Commission updated with current contact information;
- Making impermissible post-election expenditures, such as bonuses to staff;
- Failing to obtain copies of all bank records while the committee account is still open, including canceled checks written for committee expenditures, and
- Failing to respond to post-election audit requests in a complete and timely manner.

[Conn. Gen. Stat. §§ [9-607\(f\)](#), [9-608](#); [Regs., Conn. State Agencies §§ 9-706-1, 9-706-2](#)]

### Prepare to Be Audited

A critical component of the post-election audit is the review of documentation of qualified expenditures to ensure that public funds were used for campaign purposes. *The campaign must be able to document that all expenditures were for permissible purposes and did not exceed the applicable expenditure limit.*

Candidates and treasurers should be prepared to participate in a post-election audit of their candidate committee and keep records accordingly. Treasurers are required to maintain internal records of each transaction for a period of four (4) years.

Campaigns may use committee funds to pay for copies of all internal documentation in preparation for their audit and should do so prior to termination. The treasurer should





have a set of originals to store for the campaign and a copy set to give to the Commission.

[Conn. Gen. Stat. §§ [9-7b](#), [9-606\(a\)](#), [9-607\(f\)](#)]

It is the candidate's responsibility to keep the Commission updated with current contact information, any changes in campaign treasurer or deputy treasurer, and the location of campaign records even after the election has concluded. The Commission will need to remain in contact with the campaign treasurer until the post-election audit process is completed. While the campaign is still active, the candidate or treasurer should file an amended [SEEC Form 1](#) to note changes in contact information for the candidate, treasurer or deputy treasurer. Changes must be submitted in writing.

[Conn. Gen. Stat. § [9-602\(c\)](#), [9-604](#), [9-606](#)]

## Post-Election Audit

### Process

During the post-election audit, the Commission's Audit Unit may review any or all transactions to ensure that a campaign's financial activity has been accurately reported. In addition, the Audit Unit may verify that all backup documents for contributions, expenditures and all other campaign finance activity have been maintained.

The post-election audit is a thorough process, consisting of various correspondences between the candidate and the Commission. To facilitate this process, it is necessary to have all of the campaign's financial records (bank statements, receipts, etc.) on hand and organized. Failure to produce documents requested by the Commission could result in the Commission assessing penalties or requiring a return of public funds. If treasurers maintain organized campaign records during the election, preparing for the post-election audit will be much simpler.

[Conn. Gen. Stat. §§ [9-7b](#), [9-607\(g\)](#); [Regs., Conn. State Agencies §§ 9-706-1](#), [9-706-2](#)]

### Post-Election Draft Audit Report

Once the documentation review portion of the post-election audit has been completed, the Commission will prepare a draft audit report detailing findings about the campaign's compliance with Program requirements and, in some cases, requesting further information about certain transactions. The main purpose of the draft audit report is to list issues and to provide the candidate and treasurer with an opportunity to respond with more documentation or further explanation.

This process provides campaigns with an opportunity to respond to the preliminary findings. If a candidate disagrees with the preliminary findings, he or she is encouraged to submit detailed explanations with corresponding relevant documentation. The



campaign's response may include an amendment to the disclosure statements to report previously unreported or misreported items.

The campaign must respond to the draft audit report in a timely manner.

## **Post-Election Final Audit Report**

The final audit report will be the Commission's final determination of a campaign's compliance with the Program. The final audit report will be based on the draft audit report and the candidate's response thereto. The final audit report is a public document and will be placed in the Commission's public file.

[Conn. Gen. Stat. §§ [9-703\(a\)](#), [9-711\(a\)](#)]

## **Avoiding Violations**

The easiest way to avoid violating the requirements of the Citizens' Election Program is to keep in frequent contact with the Candidate Services Unit. See the contact information at the beginning of this Guide for phone numbers and email addresses. If a campaign has specific questions and would like the Commission to take official action and/or respond in writing to clarify the applicable requirements, the process to request a written opinion is outlined below.

## **Points to Remember**

The following are some important points to remember:

- Keep in regular contact with the Candidate Services Unit;
- Respond promptly to requests for information;
- Candidates and treasurers will be individually and personally responsible for penalties assessed against their campaign; and
- Read all Program materials, including General Statutes Chapters 155 and 157, this Guide and visit the Public Campaign Financing section on our website at <http://www.ct.gov/seec>.

## **Written Advice**

The Commission and/or its staff issue three (3) types of written advice: Opinions of Counsel, Advisory Opinions, and Declaratory Rulings. The Commission will not respond to requests for advice concerning: (1) the conduct of another; (2) conduct that has already occurred; or (3) issues that are not covered under the campaign finance laws.

### **Opinions of Counsel**

Opinions of Counsel may be requested from the Commission staff but are not binding on the Commission. However, the person to whom an Opinion of Counsel is rendered may rely upon the opinion with respect to any matter brought before the Commission



based upon the same facts and circumstances addressed in the opinion. If there is an omission or change in any facts or assumptions presented, and such omission, fact or assumption is material to the conclusions presented in the opinion of counsel, then the requestor may not rely on those conclusions in support for such activity brought before the Commission. Please contact your Candidate Services Liaison or any member of the Commission's legal staff for assistance in requesting an Opinion of Counsel. Contact information is listed at the beginning of this Guide.

[Conn. Gen. Stat. § [9-7b\(a\)\(17\)](#)]

## **Advisory Opinions**

Where the Commission sees that similar questions are being asked by various individuals or concludes that the regulated community would best be served by written guidance, the Commission may opt to issue an Advisory Opinion. An Advisory Opinion is an official Commission response to a question relating to the application of Connecticut campaign finance law and has general applicability.

## **Declaratory Rulings**

Finally, an individual or entity may also request a declaratory ruling from the Commission.

The subject of a declaratory ruling may concern the applicability of any provision of Chapter 155 or Chapter 157 of the General Statutes, or any regulation promulgated by the Commission, with respect to a course of action contemplated by the person seeking the ruling.

A request for a declaratory ruling must contain the following:

- An original signature, address, and telephone number of the person(s) requesting the opinion or ruling;
- A clear and concise statement of the issue and the underlying facts;
- A statement that the course of action contemplated by the person is real and not hypothetical or imaginary;
- An identification of the particular aspect of the provisions of Chapter 155 or 157 of the General Statutes or regulation to which the request is addressed; and
- Any facts and arguments that support the position of the person making the inquiry.

The declaratory ruling procedures may not be used to challenge the legality or legal sufficiency of another person's actions. Instead, the complaint process must be used for that purpose.



A declaratory ruling request must be mailed to the Commission or delivered in person during normal business hours. If the Commission determines a declaratory ruling will not be rendered, it will, within thirty (30) days of such determination, notify the person(s) requesting the same of its denial.

The Commission may give notice to other persons that a declaratory ruling has been requested and the Commission may receive and consider facts, arguments and opinions from them. A declaratory ruling is binding upon the Commission and also will be applied broadly across the Program.

[Conn. Gen. Stat. § [4-176](#); [Regs., Conn. State Agencies §§ 9-7b-63, 9-7b-64, 9-7b-65](#)]

## Violations

Upon filing the Affidavit of Intent to Abide ([SEEC Form CEP 10](#)), the candidate and the treasurer are legally bound to comply with all the Program requirements. Ignorance of the Program requirements is not an acceptable defense for non-compliance. The Candidate Services Unit is available to assist campaigns with questions or problems they may have but it is ultimately the candidate and treasurer's responsibility to ensure compliance with the Program.

Failure to comply with the Program requirements may lead to assessment of a civil penalty from the Commission and the disqualification or suspension of public funds. The Commission can levy civil penalties up to two thousand dollars (\$2,000) per offense or twice the amount of any improper payment or contribution, whichever is greater, against persons found to be in violation of public finance laws.

Remember, the candidate and treasurer and deputy treasurer (if applicable) are responsible for the payment of all penalties assessed and repayments of public funds.

[Conn. Gen. Stat. §§ [9-7b\(a\)\(2\)\(D\)](#), [9-703](#); [Regs., Conn. State Agencies § 9-706-3](#)]

## Penalties for Failure to File Supplemental Disclosure Statements

As described in Chapter VIII, Supplemental Grants, there may be required supplemental reports for some or all candidates in a race. Some of the required reports must be filed within forty-eight (48) hours or twenty-four (24) hours of receiving excess funds, or incurring or making an excess expenditure. Penalties for late filing of supplemental statements range from one thousand dollars (\$1,000) for the first late report to five thousand dollars (\$5,000) for each subsequent late report. Additionally, the Commission can levy civil penalties up to two thousand dollars (\$2,000) per offense or twice the amount of any improper payment or contribution, whichever is greater, against persons found to be in violation of public campaign finance laws.

[Conn. Gen. Stat. §§ [9-7b\(a\)\(2\)\(D\)](#), [9-711](#), [9-712](#); [Regs., Conn. State Agencies § 9-712-1](#)]



## Who May File a Complaint?

Any individual may file a complaint under oath with the Commission requesting it to investigate any alleged violation of the election laws. The Commission may, on its own initiative, also decide to conduct an investigation on any possible violation of the State election laws.

[Conn. Gen. Stat. § [9-7b](#); [Regs., Conn. State Agencies § 9-7b-25](#)]

## Form of Complaint

All complaints filed with the Commission must be in writing and sworn to under oath by the complainant. A pre-printed form, which is available both at the Commission's offices and at its website, <http://www.ct.gov/seec>, may be used to file complaints. A complaint may also be filed in letter form provided that it is sworn to under oath. Complaints must include the complainant's original signature and are not accepted via fax or electronic mail.

Complaints should include the following:

- The legal name, address and telephone number of the individual filing the complaint;
- A clear and concise statement of the facts;
- The date of the alleged violation(s);
- The identity of the person(s) alleged to have committed the violation(s);
- The identity of any person(s) who may have knowledge of the facts asserted in the complaint; and
- Any other document, written material or other information known to the complainant and having a bearing on the violation(s) alleged in the complaint.

[Conn. Gen. Stat. § [9-7b](#); [Regs., Conn. State Agencies § 9-7b-25](#)]



## Appendix

[Glossary](#)

[List of Party Dominant Districts](#)





## GLOSSARY

**"90% Threshold":** An amount of aggregate campaign spending or fundraising that triggers supplemental reporting. Once a nonparticipating candidate in any race that includes a participating candidate receives contributions, loans, or funds, or makes or becomes obligated to make an expenditure that exceeds 90% of the applicable expenditure limit for the participating candidate, the campaign must file a supplemental report. Following this initial disclosure, all candidate committees competing in the same campaign must make periodic supplemental reports. Conn. Gen. Stat. § [9-712\(a\)](#). See also **Excess Expenditure**.

**Affidavit of Intent to Abide by Expenditure Limits** – The document ([SEEC Form CEP 10](#)) required from each participating candidate before the candidate can apply for or receive a Program grant and reflecting the candidate's intention to follow the Program's requirements, including fundraising and expenditure limits. The candidate must file the affidavit by the applicable deadline. Conversely, candidates who decide not to participate in the Program must file an affidavit stating that they will not abide by the expenditure limits. This affidavit for nonparticipating candidates ([SEEC Form CEP 11](#)) must be filed with the Commission by the applicable deadline. The applicable deadline is 40 days before a regular election and 25 days before a primary or special election. Conn. Gen. Stat. § [9-703](#).

**Applicable Expenditure Limit:** For the purposes of calculating supplemental grants for a participating candidate, the applicable expenditure limit is the amount of qualifying contributions required to be raised for that office plus the amount of the full initial major party grant for that office described at Conn. Gen. Stat. § [9-705](#).

**Buffer Qualifying Contribution:** A contribution that meets the criteria for a qualifying contribution and is received after a candidate committee has already raised the required threshold (number and amount) for qualifying contributions. Such contributions are useful in the event that some of the candidate committee's other contributions are deemed to be non-qualifying during the grant application review. The amount of any buffer qualifying contributions raised beyond the qualifying threshold must be transmitted to the Citizens' Election Fund with the committee's grant application.

**Campaign Treasurer:** The individual appointed by a candidate to receive and disburse funds on behalf of the candidate or committee and to comply with all campaign finance reporting and recordkeeping provisions. The treasurer must be a registered voter in the State of Connecticut. Conn. Gen. Stat. § [9-601\(12\)](#).

**Candidate:** An individual who seeks nomination for election or election to public office even if the campaign proves unsuccessful. Individuals qualify as candidates if they have (A) been endorsed by a party or become eligible for a position on the ballot at an election or primary, (B) solicited or received contributions, made expenditures, or consented to any other person soliciting or receiving contributions or making



expenditures so that the individual can win nomination or election to any office, or (C) registered with the Commission as a candidate. Conn. Gen. Stat. § [9-601\(11\)](#).

**Candidate Committee:** Any committee designated by a single candidate, or established with the consent, authorization, or cooperation of a candidate, for the purpose of participating in a single primary or election and to aid or promote such candidate's candidacy alone for a particular public office. Candidate committees are distinct from political committees or party committees. A candidate can form only one candidate committee for a particular office. Conn. Gen. Stat. § [9-601\(4\)](#).

**Candidate Services Unit :** A group within the SEEC formed with the goal of assisting candidates, treasurers, and candidate committees in understanding and complying with Program requirements and regulations throughout the election process. Candidate Services Liaisons will be assigned to participating candidates and will be available to answer questions, listen to suggestions and provide support with all aspects of the Program.

**Caucus:** A meeting at a designated hour and place of the enrolled members of a political party within a municipality or political subdivision thereof held to select party-endorsed candidates for a party primary or to transact other business of such party. Conn. Gen. Stat. § [9-372\(1\)](#)

**Citizens' Election Fund:** The non-lapsing account within the State of Connecticut's General Fund that serves as the primary funding source for the Citizens' Election Program. Assets in the Citizens' Election Fund result from the sale of abandoned property that has reverted to the State. Conn. Gen. Stat. § [9-701](#).

**Citizens' Election Program:** The publicly-funded, campaign financing program created in Connecticut in 2005, which provides campaign grants to qualifying major party, minor party, and petitioning candidates seeking election to Statewide Office or General Assembly. Conn. Gen. Stat. § [9-702\(a\)](#).

**Communicator Lobbyist:** A lobbyist who communicates directly or solicits others to communicate directly with an official or member of the official's staff in the executive or legislative branch in order to influence legislation or administrative action. Communicator lobbyists are required to register with the Office of State Ethics. Conn. Gen. Stat. §§ [1-91\(v\)](#), [9-601\(16\)](#).

**Contributor:** An individual human being who makes a contribution to a participating candidate. Statewide candidates must receive a minimum amount of qualifying contributions from "in-state" contributors, i.e. individual human beings "residing in" the State of Connecticut. General Assembly candidates must receive a minimum amount of qualifying contributions from "in-district" contributors, i.e. individual human beings "residing in" municipalities located in whole or in part in the district where the candidate seeks office.



**Convention:** A meeting of delegates of a political party held to choose the candidate or endorse candidates of that party for state or district offices or to transact other business of such party. Conn. Gen. Stat. § [9-372\(2\)](#).

**Coordinated Expenditures:** Considered impermissible for participants in the Program, coordinated expenses occur when a candidate is involved with promotions, fundraising events, or other campaign-related efforts benefiting the candidate but paid for by another entity or individual. Coordinated expenses—deemed in-kind contributions—include advertisements and production of other communication media that clearly identify the candidate as well as events or fundraising efforts to benefit the candidate directly. See Conn. Gen. Stat. § [9-601\(19\)](#). Compare to **Independent Expenditures**.

**Depository Account:** The single checking account at a depository institution designated as the sole repository for the candidate committee's moneys in accordance with the provisions of subsection (a) of section [9-604](#). The depository institution must have a physical location in Connecticut. Conn. Gen. Stat. §§ [9-604\(a\)](#), [9-700\(2\)](#).

**Deputy Campaign Treasurer:** Appointed by the candidate (or by the chairperson of an exploratory committee), the deputy campaign treasurer may act for the campaign treasurer if he or she is unable to perform his or her duties for any reason. Conn. Gen. Stat. §§ [9-601\(13\)](#), [9-602\(c\)](#).

**Differential Contributions:** Minor party or petitioning candidates who qualify for a partial grant under the Program requirements in the amount of 1/3 or 2/3 of the applicable full grant amount for that office may continue to raise qualifying contributions after receiving their partial grant. These contributions, known as differential contributions, when added to the partial grant received under the Program, may make up the difference between the partial and full grant amount. Qualifying contributions that would result in exceeding the full grant amount may not be deposited into the committee's account.

**Donative Intent:** The intent of a donor to contribute, which must be established in order to accept the contribution. Donative intent is established if the following three conditions are met: (a) the decision to contribute is made knowingly and voluntarily by the donor and is made for the purpose of influencing the nomination or election; (b) the money contributed is owned or controlled exclusively by the donor; and (c) the contribution is not made from the proceeds of a gift, the purpose of which was to provide funds to be contributed, or is not otherwise controlled by another individual.

**eCRIS** (Electronic Campaign Reporting Information System): The SEEC's online campaign finance reporting and disclosure system that allows candidates and their committee treasurers to submit required committee registration information and campaign finance statements detailing the receipts and expenditures of the committee electronically via the Internet. eCRIS is available at <http://seec.ct.gov/eCris/eCrisHome.aspx?seecNav=1>. Conn. Gen. Stat. § [9-675](#).



**Eligible Minor Party Candidate:** A candidate who has received the nomination of a minor party, making him or her eligible to appear on the ballot and to apply for a Program grant. Conn. Gen. Stat. § [9-700\(4\)](#).

**Eligible Petitioning Party Candidate:** A candidate for election to an office whose nominating petition has been approved by the Secretary of the State, making that candidate eligible to appear on the ballot and to apply for a Program grant. Conn. Gen. Stat. § [9-700\(5\)](#).

**Excess Expenditure or Excess Receipts (nonparticipating candidate):** Funds received or an expenditure made, or obligated to be made, by any candidate in a race that includes a participating candidate, and which exceeds 100% of the applicable expenditure limit for the participating candidate authorized under section [9-705](#) of the Connecticut General Statutes. Conn. Gen. Stat. [9-713](#). See also **90% Threshold**.

**Excess Expenditure (participating candidate):** An expenditure by the qualified candidate committee of a participating candidate that is in excess of the applicable expenditure limit as set forth in [Section 9-702\(c\)](#) of the Connecticut General Statutes. Participating candidates who make expenditures above the limit set out in the statute are subject to penalties and may be ineligible for the Program. Conn. Gen. Stat. [9-711\(a\)](#). See also **Expenditure Limits**.

**Expenditure:** Any purchase, payment, distribution, loan, advance, deposit, or gift of money or anything of value, when made for the purpose of influencing the nomination for election, or election, of any person. Conn. Gen. Stat. § [9-601\(b\)](#).

**Expenditure Limits:** Candidates who intend to participate in the Program as well as those participating in the Program agree to limit their expenditures during the pre-primary/pre-general election period, the primary campaign (if applicable) and the general election campaign to the sum of allowable qualifying contributions, allowable personal funds provided by the candidate, and initial and supplemental grants from the Fund. Minor party and petitioning candidates who do not receive the full initial general election grant may also raise qualifying contributions up to the amount of the full grant, and expend the additional contributions raised. Conn. Gen. Stat. § [9-702\(c\)](#).

**Exploratory Committee:** A committee established by a candidate for a single primary or election to determine whether to seek nomination or election to public office. Conn. Gen. Stat. § [9-601\(5\)](#). See also [Declaratory Ruling 2007-02](#).

**Federal Employer Identification Number (FEIN):** Identification number assigned by the Internal Revenue Service; the FEIN is a prerequisite to receiving any money from the Fund. Most banks require the FEIN when a candidate committee opens an account. The State Comptroller's Office requires a FEIN for any electronic funds transfer. For more information about obtaining an FEIN, contact the IRS at (800) 829-4933.



**Fund:** See Citizens' Election Fund.

**General Election Campaign:** The general election campaign period begins on one of two dates, depending on the nature of the candidate's nomination. In the case of a candidate nominated through a primary, the general election period commences on the day following the primary. For a candidate nominated without a primary, the general election period starts on the day following the day on which the party nominates the candidate. In any event, the general election period ends on the date the campaign treasurer files the final statement for such campaign pursuant to section [9-608](#). Conn. Gen. Stat. § [9-700\(7\)](#).

**High-Spending Opponent:** A non-participating candidate who is opposed by one or more participating candidates or a participating candidate that has raised or made, or obligated to be made, expenditures exceeding the applicable expenditure limit of a participating candidate in the same race.

**Impermissible Donors, Impermissible Sources:** Communicator lobbyists, their immediate families, as well as principals of state contractors or prospective state contractors (which includes their immediate family members) may not contribute to a candidate's campaign. Likewise, anonymous contributions and contributions from individuals who are not United States citizens or green card holders are not allowed. Moreover, contributions from entities other than human beings are not allowed. Conn. Gen. Stat. § [9-704\(c\)\(1\), \(2\) and \(3\)](#).

**Independent Expenditures:** Expenditures made by a person or group without the involvement of a candidate or agent of the candidate committee. In contrast to coordinated expenditures, truly independent expenditures will not cause participating candidate committees to exceed expenditure limits. They may, however, qualify participating candidate committees to obtain supplemental grant money. Conn. Gen. Stat. §§ [9-601\(18\)](#), [9-714](#).

**Individual:** The term "individual" refers to a human being, a sole proprietorship, or a professional service corporation organized under chapter 594a and owned by a single human being. However, only individuals who are human beings may make qualifying contributions. Conn. Gen. Stat. § [9-601\(9\)](#), [9-704\(a\)](#). See also [Declaratory Ruling 2007-03](#).

**In-Kind Contributions:** Donation of goods, services, or anything of value given free of charge or at less than the usual charge to the recipient committee or candidate. Participating candidate committees may not accept in-kind contributions. Conn. Gen. Stat. § [9-601a\(a\)](#).

**Investment Services Firm:** A firm conducting investment legal services, investment banking services, investment advisory services, underwriting services, financial advisory services or brokerage firm services. Conn. Gen. Stat. § [9-612\(f\)\(1\)](#).





**Loans:** Participating candidate committees may only accept loans from financial institutions, and those loans may not exceed the aggregate amount of \$1,000. Participating candidates may not accept personal loans or any other type of loans other than from financial institutions. Conn. Gen. Stat. § [9-710\(a\)](#).

**Major Party:** A political party or organization whose candidate for Governor in the most recent gubernatorial election received at least twenty per cent of the whole number of votes cast for all candidates for Governor while running as a member of that party, or a political party having a number of enrolled members on the active registry list equal to at least twenty per cent of the total number of enrolled members of all political parties on the active registry list in the state at the time of the last gubernatorial election. Conn. Gen. Stat. § [9-372\(5\)](#).

**Minor Party:** A political party that is not a major party and whose candidate for the office in question received at the last-preceding regular election for such office, under the designation of that political party or organization, at least one per cent of the whole number of votes cast for all candidates for such office at such election. Conn. Gen. Stat. § [9-372\(6\)](#).

**Nonparticipating Candidate:** A candidate who certifies to the Commission the candidate's intent not to abide by the expenditure limits under the Citizens' Election Program. Conn. Gen. Stat. § [9-703\(b\)](#).

**Non-Qualifying Contributions:** Contributions from impermissible sources or that exceed the contribution limits – \$100 in the aggregate from any individual – are non-qualifying contributions and must be returned or refunded to the contributor. Anonymous or otherwise impermissible contributions that cannot be returned must be forwarded to the Citizens' Election Program. Conn. Gen. Stat. §§ [9-704\(a\) and \(c\)](#), [9-706\(b\)\(4\)](#).

**Organization Expenditure:** Certain expenditures made by legislative caucus or legislative leadership or party committees on behalf of participating candidates. Organization expenditures may only be made for limited purposes. Eligible committees making organization expenditures must be extremely cautious to ensure that their activity constitutes an actual organization expenditure, otherwise the committee may cause a participating candidate to violate Program requirements. The committee making an organization expenditure must disclose it on its financial disclosure statement and must notify the candidate who benefits from the expenditure. That candidate must also report the expenditure to the Commission. The Program sets limits on the amount of organizational expenditures for candidates seeking certain offices. Conn. Gen. Stat. §§ [9-601\(25\)](#), [9-608\(c\)\(5\) and \(6\)](#), [9-718](#).

**Participating Candidate:** Upon notifying the Commission of their intent to abide by the expenditure limits under the Citizens' Election Program, candidates shall be referred to as "participating candidates," meaning they are participating in the Program and subject to the voluntary limitations, reporting requirements, and all other Program provisions applicable to participants. Conn. Gen. Stat. § [9-703\(a\) and \(b\)](#).





**Permissible Sources, Permissible Donors:** Only contributions made by individual human beings will count as “qualifying contributions” to a participating candidate’s campaign and assist the candidate in satisfying the necessary minimum contribution requirements from qualifying contributors to meet the Program thresholds. Conn. Gen. Stat. § [9-704](#). See also [Declaratory Ruling 2007-03](#). See also **Impermissible Donors, Impermissible Sources** for more detailed information.

**Person:** An individual, committee, firm, partnership, organization, association, syndicate, company trust, corporation, limited liability company or any other legal entity of any kind but does not mean the state or any political or administrative subdivision of the state. Conn. Gen. Stat. § [9-601\(10\)](#).

**Personal Funds:** Candidates may provide a limited amount of personal funds to their candidate committees. Personal funds can only be provided before a participating candidate applies for a grant. Candidates for Governor may provide up to \$20,000 in the aggregate; candidates for Lieutenant Governor, Secretary of the State, Treasurer, Comptroller, or Attorney General up to \$10,000; state senate up to \$2,000; and state representative up to \$1,000. Any personal funds that a candidate provides will reduce that candidate’s Program grant, *e.g.*, if a Secretary of the State candidate donates \$10,000 of her personal funds to her campaign, the maximum Program grant that the candidate could receive would be \$740,000 – the full \$750,000 grant less the \$10,000 provision of the candidate’s personal funds. A candidate is not permitted to make a qualifying contribution or loan to his or her own campaign. Conn. Gen. Stat. § [9-710](#). See also [Declaratory Ruling 2007-01](#).

**Petitioning Candidate:** A candidate who becomes eligible to be on a ballot by virtue of obtaining the necessary amount of signatures of qualified electors on forms prescribed by the Secretary of the State in accordance with General Statutes §§ [9-453a et seq.](#)

**Primary Campaign:** Beginning on the day following the close of (A) a convention held pursuant to Conn. Gen. Stat. § [9-382](#) for the purpose of endorsing a candidate for nomination to the office of State Senator or State Representative, or (B) a caucus, convention or town committee meeting held pursuant to Conn. Gen. Stat. § [9-390](#) for the purpose of endorsing a candidate for the municipal office of state senator or state representative, whichever is applicable. The primary campaign period ends on the day of a primary held for the purpose of nominating a candidate for such office. Conn. Gen. Stat. § [9-700\(11\)](#). See also **General Election Campaign**.

**Program:** See **Citizens’ Election Program**.

**Principal of an Investment Services Firm:** For purposes of the contribution and solicitation ban by such principals to or for an exploratory committee or candidate committee for nomination or election to the office of State Treasurer, such individuals are identified as follows: (i) Directors; (ii) Owners of at least 5% of the shares of the firm; (iii) President, Treasurer, and Executive Vice President; (iv) any individual who is an employee of an investment services firm who has managerial or discretionary



responsibilities with respect to investment services provided to the State Treasurer; (v) the Spouse and Dependent Children eighteen (18) years or older of all of the above individuals; (vi) any Political Committee established or controlled by the investment services firm or by any of the above individuals. Conn. Gen. Stat. § [9-612\(f\)\(1\)](#).

**Principal of a State Contractor or Prospective State Contractor:** For purposes of the contribution and solicitation ban, such individuals are identified as follows:

For Business Entities (including all types of businesses, regardless of its form of organization): (i) Directors; (ii) Owners of at least 5% of business; (iii) President, Treasurer, Executive Vice President; (iv) Employees with Managerial or Discretionary Responsibility with respect to the state contract, meaning those employees who have direct, extensive, and substantive responsibilities with respect to the negotiation of the state contract rather than peripheral, clerical, or ministerial responsibilities; (v) the Spouse and Dependent Children eighteen (18) years or older of all of the above individuals; (vi) any Political Committee established or controlled by the business entity or by any of the above individuals.

For Non-Profit Organizations (all types of non-profits, regardless of tax exempt status): (i) Chief Executive Officer or, if none, officer with comparable duties; (ii) Employees with Managerial or Discretionary Responsibility with respect to the state contract, meaning those employees who have direct, extensive, and substantive responsibilities with respect to the negotiation of the state contract rather than peripheral, clerical, or ministerial responsibilities; (iii) the Spouse and Dependent Children 18 years or older of all of the above individuals; (iv) any Political Committee established or controlled by the nonprofit organization or by any of the above individuals.

The Commission maintains lists of state contractors on its website, <http://www.ct.gov/seec>. Please note, these lists are not exhaustive and there may be additional contractors that are not listed. Conn. Gen. Stat. § [9-612\(g\)\(1\)](#).

**Prospective State Contractors:** An impermissible source for qualifying contributions under the Program, prospective state contractors include any person, business entity, or nonprofit organization that submits a bid or proposal on a state contract or request or that holds a prequalification certificate issued by the Commissioner of Administrative Services. Conn. Gen. Stat. § [9-612\(g\)\(E\)](#). The Commission maintains lists of prospective state contractors on its website, <http://www.ct.gov/seec>. Please note, these lists are not exhaustive and there may be additional contractors that are not listed.

**Qualified Candidate Committee:** A candidate committee established to aid or promote the success of any candidate for nomination or election to Statewide Office or General Assembly, and approved by the Commission to receive a grant from the Citizens' Election Fund under the parameters of Conn. Gen. Stat. § [9-706](#). Conn. Gen. Stat. § [9-700\(12\)](#).



**Qualifying Contributions:** Monetary contributions to a candidate of between \$5 and \$100 from individuals who are permissible donors. “In-kind” contributions do not constitute qualifying contributions and are not permitted under the Program. Conn. Gen. Stat. § [9-704](#).

**Solicitor:** A solicitor is any individual who is appointed by the campaign treasurer to receive funds or resources on behalf of the committee. There are no limitations on the number of solicitors that the treasurer may appoint on behalf of the committee. A candidate may serve as solicitor for his or her own campaign. Certain individuals are restricted from soliciting donations on behalf of a candidate or committee. See the “Solicitors” section in this Guide. Conn. Gen. Stat. §§ [9-601\(14\)](#), [9-606\(c\)](#), [9-622\(11\)](#).

**State Contract:** An agreement or contract with the state, any state agency or quasi-public agency, obtained through a procurement process or otherwise valued at \$50,000 or more for a single contract, or \$100,000 or more for a series of contracts in a calendar year. The contract must be for (i) the rendition of services; (ii) the furnishing of any goods, material, supplies, equipment or any item of any kind; (iii) the construction, alteration, or repair of any public building or public work; (iv) the acquisition, sale or lease of any land or building; (v) a licensing arrangement; or (vi) a grant, loan, or loan guarantee. Conn. Gen. Stat. § [9-612\(g\)\(1\)\(C\)](#).

**State Contractors:** An impermissible source for qualifying contributions under the Program, state contractors include any person, business entity, or nonprofit organization that enters into a state contract, as described above. Conn. Gen. Stat. § [9-612\(g\)\(D\)](#).

**Supplemental Campaign Finance Disclosure Statements:** Once any committee in a race with at least one participating candidate receives contributions or funds or spends or makes a commitment to incur an expenditure that represents more than 90% of a participating candidate’s applicable expenditure limit, that campaign must file an initial supplemental statement ([SEEC Form 30](#)) with the SEEC. Once a campaign has crossed this threshold, each candidate committee in the race—participating and nonparticipating—must file supplemental disclosure statements with the SEEC. Conn. Gen. Stat. § [9-712](#).

**Supplemental Grants (excess receipts or expenditures):** If a participating candidate’s nonparticipating opponent receives funds or makes expenditures that in the aggregate exceed the participating candidate’s applicable expenditure limit, the participating candidate may receive a supplemental grant. Depending on the level of the nonparticipating candidate’s receipts or spending, this supplemental grant money could equal as much as 100% of the participating candidate’s initial grant. Conn. Gen. Stat. § [9-713](#).

**Supplemental Grants (independent expenditures):** A participating candidate targeted by independent expenditures made to promote the participant’s defeat could become eligible to receive a supplemental grant matching the amount of the independent expenditure from the Program. Depending on the cost of the independent expenditure targeting the participating candidate, the supplemental



grant could equal as much as 100% of the participating candidate's initial grant. Conn. Gen. Stat. § [9-714](#).

**Supplemental (post-election) Grants (minor party/petitioning candidate campaign deficits):** If a minor party or petitioning candidate receives a greater percentage of votes in the general election than the percentage of votes the candidate used to qualify for a grant and that candidate's campaign reports a deficit after the general election, the participating minor party or petitioning candidate may receive a supplemental grant from the Program. Conn. Gen. Stat. § [9-705\(g\)\(3\)](#).

**Treasurer:** see **Campaign Treasurer**.



## Party Dominant Districts: 2010 General Assembly Primaries

Based on the figures provided by the Secretary of the State, the districts below qualify as “party-dominant” districts for General Assembly primaries in accordance with Conn. Gen. Stat. §§ [9-705\(e\)](#) and [\(f\)](#). A “party-dominant” district is one in which the percentage of active electors in the district who are enrolled in a major party exceeds the percentage of active electors in the district who are enrolled in the other major party by at least 20 percentage points.

The figures reflect the voter registration numbers from the Secretary of the State’s Statewide Voter Registration System as of seven days before the regular election on November 3, 2009.

### Party Dominant Districts – State Senate

District	Registration			Percentage			Dominance
	<i>Democrat</i>	<i>Republican</i>	<i>Total</i>	<i>% DEM</i>	<i>% REP</i>	<i>% Diff.</i>	
1	23752	3418	38171	62.23%	8.95%	53.27%	D
2	30365	4095	48802	62.22%	8.39%	53.83%	D
3	23593	9121	56721	41.59%	16.08%	25.51%	D
5	26158	12880	62510	41.85%	20.60%	21.24%	D
6	23396	6771	47564	49.19%	14.24%	34.95%	D
9	25806	10694	60357	42.76%	17.72%	25.04%	D
10	32350	2125	47777	67.71%	4.45%	63.26%	D
11	29666	4450	50446	58.81%	8.82%	49.99%	D
15	22795	7753	51070	44.63%	15.18%	29.45%	D
17	20803	8739	53899	38.60%	16.21%	22.38%	D
22	22661	10196	56850	39.86%	17.93%	21.93%	D
23	30329	2101	45730	66.32%	4.59%	61.73%	D
29	19780	8742	54853	36.06%	15.94%	20.12%	D
31	20503	9446	53822	38.09%	17.55%	20.54%	D



## Party Dominant Districts – House of Representatives

District	Registration			Percentage			Dominance
	<i>Democrat</i>	<i>Republican</i>	<i>Total</i>	<i>% DEM</i>	<i>% REP</i>	<i>% Diff.</i>	
1	7143	527	10352	69.00%	5.09%	63.91%	D
3	5416	287	7336	73.83%	3.91%	69.92%	D
4	4855	315	7117	68.22%	4.43%	63.79%	D
5	6448	243	8436	76.43%	2.88%	73.55%	D
6	6632	556	9526	69.62%	5.84%	63.78%	D
7	6624	287	8807	75.21%	3.26%	71.95%	D
10	6237	1298	12595	49.52%	10.31%	39.21%	D
11	5508	1038	10927	50.41%	9.50%	40.91%	D
12	5481	2458	13767	39.81%	17.85%	21.96%	D
13	4941	1818	11756	42.03%	15.46%	26.57%	D
15	9164	2201	16909	54.20%	13.02%	41.18%	D
18	6863	2114	13586	50.52%	15.56%	34.96%	D
20	5596	2140	12681	44.13%	16.88%	27.25%	D
22	5433	2374	13382	40.60%	17.74%	22.86%	D
24	6185	1439	11873	52.09%	12.12%	39.97%	D
25	5487	685	10022	54.75%	6.83%	47.91%	D
26	5537	1209	10267	53.93%	11.78%	42.15%	D
27	6639	2581	15112	43.93%	17.08%	26.85%	D
28	6313	3133	15513	40.69%	20.20%	20.50%	D
29	6214	2968	15223	40.82%	19.50%	21.32%	D
33	6031	1616	12075	49.95%	13.38%	36.56%	D
39	4279	833	9475	45.16%	8.79%	36.37%	D
46	4727	1505	11884	39.78%	12.66%	27.11%	D
49	5813	1714	13786	42.17%	12.43%	29.73%	D
54	5548	1913	13389	41.44%	14.29%	27.15%	D
58	5142	2285	13652	37.66%	16.74%	20.93%	D
60	6114	2267	14837	41.21%	15.28%	25.93%	D
72	5599	975	10631	52.67%	9.17%	43.50%	D
73	5652	1759	12351	45.76%	14.24%	31.52%	D
74	5283	1758	11905	44.38%	14.77%	29.61%	D
75	6507	890	11122	58.51%	8.00%	50.50%	D
77	5772	2185	13737	42.02%	15.91%	26.11%	D
79	5242	1963	12627	41.51%	15.55%	25.97%	D
82	4652	1922	13464	34.55%	14.28%	20.28%	D
84	3652	964	9807	37.24%	9.83%	27.41%	D
88	5414	1662	12188	44.42%	13.64%	30.78%	D
91	6474	1175	12503	51.78%	9.40%	42.38%	D
92	8392	472	12141	69.12%	3.89%	65.23%	D
93	7424	343	10647	69.73%	3.22%	66.51%	D
94	8240	449	11358	72.55%	3.95%	68.59%	D
95	8111	240	10801	75.09%	2.22%	72.87%	D
96	7877	998	12887	61.12%	7.74%	53.38%	D
97	7108	766	11263	63.11%	6.80%	56.31%	D
99	4749	2078	13027	36.46%	15.95%	20.50%	D





District	Registration			Percentage			Dominance
	<i>Democrat</i>	<i>Republican</i>	<i>Total</i>	<b>% DEM</b>	<b>% REP</b>	<b>% Diff.</b>	
104	4678	1570	11845	39.49%	13.25%	26.24%	D
110	2269	897	6334	35.82%	14.16%	21.66%	D
115	7675	1344	13134	58.44%	10.23%	48.20%	D
116	6573	868	11349	57.92%	7.65%	50.27%	D
121	4984	1592	12562	39.68%	12.67%	27.00%	D
124	8196	587	12293	66.67%	4.78%	61.90%	D
125	3190	6486	13943	22.88%	46.52%	-23.64%	R
126	8527	731	12963	65.78%	5.64%	60.14%	D
127	6147	1184	11127	55.24%	10.64%	44.60%	D
128	7190	411	10298	69.82%	3.99%	65.83%	D
129	5851	1134	10325	56.67%	10.98%	45.69%	D
130	7122	505	10665	66.78%	4.74%	62.04%	D
140	3953	1041	9020	43.82%	11.54%	32.28%	D
141	3325	7114	15452	21.52%	46.04%	-24.52%	R
145	4189	874	7761	53.98%	11.26%	42.71%	D
146	4602	2306	10902	42.21%	21.15%	21.06%	D
148	4248	1763	9704	43.78%	18.17%	25.61%	D